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ABSTRACT

It is the purpose of this manual to present suggested steps and procedures for use by individual onsite evaluators or by the Utah State Office of Education or any other similar agency charged with responsibility for arranging or conducting onsite evaluations. Although many of the examples used in this manual are drawn from materials developed in relation to onsite evaluation of Title IV-C projects (or their earlier precursors, Title III projects), they should have broad applicability to onsite evaluation of virtually any type of educational project. Much of the material in this manual consists of simple procedures and suggestions that represent little more than "common sense"; it is in the spirit of promoting simple and straightforward approaches to onsite evaluation that this manual is offered. It is organized around the following general topics, within which specific procedures and supporting materials are discussed: Onsite Evaluation: An Effective Evaluation Strategy; Rationale for Establishing Onsite Evaluation Guidelines; Pre-visitation Considerations and Activities; Conduct of Onsite Evaluation Activities; Reporting the Results of Onsite Evaluation Visits; Evaluation of Onsite Evaluations; and Stipend and Expense Considerations. Appendixes contain evaluation materials. (BW)

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ONSITE EVALUATION GUIDELINES AND PROCEDURES:

A MANUAL FOR ONSITE EVALUATORS

UTAH OFFICE OF EDUCATION
OFFICE OF CURRICULUM AND INSTRUCTION

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LOGAN, UTAH

February 1983

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ONSITE EVALUATION GUIDELINES AND PROCEDURES

A MANUAL FOR ONSITE EVALUATORS

THE UTAH STATE OFFICE OF EDUCATION

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February 1983

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Acknowledgments

Although the author assumes full responsibility for the contents of this manual and any errors therein, he wishes to acknowledge the contributions of the following individuals to his thinking and, in some cases, to instruments or other sample items contained in the appendices;

- Karl R. White was primarily responsible for the initial design and direction of the 1980-81 Utah Title IV - C evaluation onsite system and instruments used as samples herein;
- Glenn I. Latham was responsible for revisions of the earlier system and instruments during his direction of the 1982 Title IV - C onsite visits; and,
- David C. Lidstrom provided input into the design of the earlier Colorado Title III examples used in this handbook.

B. R. W.

1. INTRODUCTION

In February 1980, the Utah State Office of Education (USOE) contracted with the Wasatch Institute for Research and Evaluation (WIRE) to conduct a three-year evaluation of the USOE programs(s) funded and operated under Title IV of the Elementary and Secondary Education Act. As one of the major components of that evaluation, selected Title IV - Part C projects were visited by external onsite evaluation teams to determine the degree to which each project was successful in meeting the objectives of Title IV - C funding.

Observations Concerning the Utah Title IV Onsite Evaluation Process

During the three years of the project, the impact that onsite evaluation had on the quality and success of individual Title IV - C projects and the Title IV - C Program as a whole was assessed. It was found that onsite evaluation had resulted in steady year-to-year improvement of Title IV - C "adoptable" and "developmental" projects. Furthermore, the threat and aversiveness project staff so frequently perceive in onsite visits was reduced dramatically by the particular procedures used in the Title IV - C onsite evaluation visits. As a result, project directors expressed increasingly positive attitudes toward onsite evaluation, suggesting that it came to play an important instructional function in addition to the more typical accountability function associated with such evaluation activities.

Purpose of This Manual

What is true for onsite evaluation of Title IV - C projects is probably also true for onsite evaluation of many other educational programs or projects, especially those operated under guidelines which are rigorous and/or technical in nature. In short, the better the onsite evaluation of education programs and projects, the more likely those projects will succeed in meeting the objectives for which they were funded.

It is the purpose of this manual to present suggested steps and procedures for use by individual onsite evaluators or by the USOE or any other similar agency charged with responsibility for arranging or conducting onsite evaluations. Accrediting agencies, program auditors, and content specialists who are asked to provide onsite judgments of the quality of programs in their content area could also use this manual, with only minor adaptations.

Although many of the examples used in this manual are drawn from materials developed in relation to onsite evaluation of Title IV - C projects (or their earlier precursors, Title III projects), they should have broad applicability to onsite evaluation of virtually any type of educational project.

It should be noted at the outset that much of the material in this manual consists of simple procedures and suggestions that represent little more than "common sense". Yet, experience in education suggests that such common sense is too often lacking in many endeavors, with the result that inefficient and cumbersome systems are often developed where simple and streamlined programs and procedures could have served as well. It is in the spirit of promoting simple and straight-forward approaches to onsite evaluation that this manual is offered.

Organization of This Manual

This manual is organized around the following general topics, within which specific procedures and supporting materials are discussed:

- Onsite Evaluation: An Effective Evaluation Strategy
- Rationale for Establishing Onsite Evaluation Guidelines
- Pre-visitation Considerations and Activities
- Conduct of Onsite Evaluation Activities
- Reporting the Results of Onsite Evaluation Visits
- Evaluation of Onsite Evaluations
- Stipend and Expense Considerations

2. ONSITE EVALUATION: AN EFFECTIVE EVALUATION STRATEGY

Onsite evaluation is one of the most frequently employed strategies to evaluate programs in education and related fields. Its popularity is doubtlessly due, at least in part, to the fact that it can be a simple and straight-forward approach that is not dependent on extensive technical expertise. For those who view professional judgment as constituting the core of evaluation, onsite evaluation is often the preferred approach. Further, onsite evaluation is a flexible method that can be used as a part of a wide variety of evaluation methods.

There are two related reasons why onsite evaluation visits are made: (1) because they are required by legislation or by some funding or regulatory agency; and (2) because onsite evaluation is viewed as an optimal approach for assisting programs and projects to reach their full potential.

Using Onsite Evaluation to Improve Educational Programs

Evaluation of an educational program or project is conducted to determine the worth or value of that program or project in attaining some important educational goal. Such evaluation requires that information[1] be collected in relation to specified criteria, leading to determination of the value of the program or project and, therefore, leading to informed decisions about those enterprises.

Evaluation should discriminate among successful and unsuccessful programs or projects. This discriminative function of evaluation should assist state and local education agencies in making various decisions concerning the programs and projects they operate--decisions about which programs are sufficiently exemplary to warrant dissemination, which areas need improvement, and whether to continue or terminate a project.

---

[1] "Information" refers here to relevant evidence beyond the usual rhetoric or unsupported opinions typically offered as the basis for judgments about the worth of educational programs or processes.

The Utah Title IV - C evaluation provides a good example of how onsite evaluation visits can contribute to the success of educational activities. As illustrated in Table 1, the quality of the Title IV - C projects steadily improved as a function of the accountability and feedback that represented the central thrusts of the onsite visits during those years.

TABLE 1

Comparison of Overall Ratings for Utah Title IV - C Adoptable and Developmental Projects: 1979-80 Through 1981-82

Type of Project	1979-80	1980-81	1981-82
Developmental	77.8	87.4	90.2
Adoptable	70.6	75.3	85.0

NOTE: The scale permitted ratings from 0 to 100.

Project directors, USOE officials, and onsite chairpersons agreed that the improvement noted was due primarily to the onsite evaluation visits. These beneficial effects of the onsite visits were evident in both developmental and adoptable projects. If the assumption holds that better project ratings are a reflection of better projects, and if better educational projects yield higher benefits to children, then the benefits of onsite visitation in Utah's Title IV - C Program seem evident.

The important role onsite evaluation played in the foregoing example led to the following observation:

> External onsite evaluations. Conducting external onsite evaluations to a sample of all funded projects does represent a significant investment of resources by the State Office of Education. However, these evaluations, when conducted in a systematic and consistent manner, appear to have substantial impact on the quality of projects which are operated. The prespecified criteria and written reports produced by the external onsite evaluation teams have provided important guidance for project directors

> and appear to have assisted them substantially in understanding the purposes and requirements of Title IV - C funding. In addition, information from the external onsite evaluations have provided project directors with information which appears to have been beneficial in helping them to improve their project in subsequent years. Finally, information from these evaluation visits has provided a wealth of information which can be used by the State Office of Education in improving and monitoring the management of Title IV - C type funding. Therefore, it is recommended that the state continue some form of external onsite evaluation visits as they look for ways to continue to provide support for innovative and exemplary program development and implementation. (Evaluation of Operation and Effects of Title IV Expenditures in Utah: 1982 Final Report. Vol. 1, page 49)

Mandated Onsite Evaluations

The apparent utility of onsite evaluations in improving educational programs and projects has led to onsite visits frequently being required by congressional or regulatory agencies or by the Federal and local agencies who implement their mandates. For example, in Title III of the Elementary and Secondary Education Act, later modified to become Title IV, it was required that "the State educational agency shall develop procedures and criteria for the on-site evaluation, at least annually, of all Title III projects in the State. . . .Such procedures shall also provide affected projects with recommendations made as a result of on-site evaluations and follow-up methods to ensure proper implementation."[2]

Each state, therefore, developed a plan to conduct onsite evaluations as part of its overall evaluation of Title III. For example, the Colorado State Plan differentiated two types of evaluation for fulfilling the requirements specified by the Federal mandate: internal evaluation (usually done by project personnel), and external evaluation (generally conducted through onsite visits). The following quotation concerning external evaluation through onsite visits is drawn from the Colorado Plan:

---

[2] U.S. Department of Health, Education, and Welfare--Office of Education, State Plan Administrator's Manual--Title III ESEA, 1971, pp. 30-31.

The State Title III Director and his staff in consultation with the State Advisory Council will administer a program of annual on-site evaluations of Title III projects.

On-site evaluations provide not only valuable information related to the operation of the project but also an opportunity for two-way communication between project personnel and persons of other communities. The specific objectives of on-site evaluations in Colorado are as follows:

- Local school personnel will have increased knowledge of their Title III project through discussions with members of the visitation team and analysis of the written evaluation report.
- Project personnel will be able to plan project activities more effectively utilizing evaluation reports of observed strengths, areas of needed improvements, and recommended changes.
- Project personnel will be able to prepare continuation proposals and year-end reports.
- The evaluation of projects will provide reliable information which will be utilized in the dissemination program.
- Members of the evaluation team will gain first-hand information on the State Title III program and individual projects and will thus be able to assist in dissemination of information.
- By analyzing results of project evaluations, the State Title III Advisory Council and the professional staff will have increased information on needed educational innovations.
- The State Title III Advisory Council and Title III staff will be able to make informed decisions regarding continuation of project activities and budget requirements. (Colorado State Plan for the Administration of Title III ESEA, 1971, p.3)

Requirements for onsite evaluations have continued and spread to other educational programs; today, many educational funding authorizations carry with them legal expectations of external evaluation, through onsite visits, of each funded project.

Formative Vs. Summative Onsite Evaluations

Conceivably, onsite evaluation visits might serve two functions: formative evaluation (providing information to help a project during its operation) and summative evaluation (gathering information at the end of a project to determine its final worth and impact.[3]

Formative functions of onsite evaluations. If used formatively, onsite evaluation visits can improve and strengthen a project. It is imperative that an objective, "cold, hard look" be taken by external evaluators during the course of the project. It need not be an unfriendly look, but it should introduce outside realities into projects before time, money, and all types of human and material resources have been expended in vain on a project. It is little help to introduce such evaluations when the project has reached or nearly reached completion. It may simply be too late to save it.

Of course, the onsite evaluation visits may uncover many positive aspects of a project, in which case information concerning such strengths can be appropriately disseminated to assist other projects or schools working on similar programs.

In one of the earlier evaluations of the administration of an onsite evaluation system, Goodwin proposed that onsite evaluations serve a formative purpose.

> Facilitation of project activities can be enhanced by providing annually an on-site team to evaluate formatively each Title III project. The team will be tailored to fit the project and will include a director from some other Title III project in the state. The on-site team will file a written report of its recommendations, a report that will be responded to in writing by project personnel within two months (indicating the project's response to each recommendation). If an on-site team determines that unsatisfactory progress is being made toward achievement of objectives, it can recommend that the Title III Office commission a further evaluation, of a summative nature, for the project. Failure to so recommend will indicate to the State Advisory Council that the on-site team deems the project worthy of continuation funding. Goodwin, W. L., Evaluation of the Administration of The State Title III, ESEA, Program. Colorado Department of Education, 1971, p. 63)

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[3] An additional function which might be served by an outside team is formative help (not evaluation). In this instance, one or more persons with expertise directly relevant to the content or the processes in the project might be called in to provide consultative help to the project director between the time the proposal is funded and the time the project begins. This activity, while highly recommended, is not an evaluation function and is not discussed further in this manual. Those interested in this topic are referred to the companion manual developed by WIRE, Technical Assistance to Local Education Agencies: A Manual for Technical Assistance Providers and Recipients, 1982.

Summative functions of onsite evaluations. If used summatively, onsite evaluation visits can determine which educational program, project, or process should be discontinued or continued and disseminated to other similar educational agencies. It is essential that a funding agency determine the ultimate operational effectiveness of programs and projects supported through resources for which it is responsible. This is best done by external evaluation, which may take the form of a summative onsite evaluation visit conducted after the program or project is fully operational and has had the benefit of earlier formative evaluations and subsequent revision. Such summative onsite evaluations may certify the effectiveness of a project, thus helping to ensure its continuation and possible expansion, or it may show the project to be ineffectual, thus leading to its termination.

Formative and summative evaluation in tandem. In practice, one often need not choose between formative and summative onsite evaluations; if resources permit simultaneous "cake-having" and "cake-eating", a particular educational project might receive both a formative onsite evaluation and a subsequent summative onsite evaluation. Further, it is often difficult in practice to separate formative from summative evaluation. A summative evaluation of a program that is continued will likely yield results that can be used formatively to improve the program's future operation.

If resources permit only a single onsite visit to a particular project, the choice of whether to use it for formative or summative purposes will depend on the alternate methods available to assure that both evaluation roles will be addressed in some fashion. For example, if a member of the project staff is competent to conduct an internal, formative evaluation, but no mechanism for summative evaluation exists, it would seem wise to plan a summative, external onsite evaluation to be conducted at the end of the program. Conversely, if there is an external accrediting body which will conduct an annual onsite accreditation visit, but no good system of internal evaluation exists, it would be better to conduct an earlier, formative onsite evaluation visit.

Although the evaluation questions and criteria would be different in formative and summative onsite evaluations, the procedures and other considerations in conducting the visits would be similar. No further distinction is made in the remainder of this manual, therefore, between formative and summative onsite evaluations.

Educational and Financial Onsite Audits

Onsite visits have also been used to conduct evaluation-related activities such as educational and financial audits. Educational audits (of the type relevant here) focus on the extent to which a program or project is in compliance with specific guidelines or regulations. Financial audits focus on the extent to which project expenditures are in accordance with the amounts approved for specific budget categories. Either type of audit can be conducted as part of an onsite evaluation, and examples of onsite evaluation systems with embedded compliance and financial audits are given later in this manual. With the exception of the specific questions and instruments, the procedures used in such audits are sufficiently similar that no separate onsite guidelines or procedures are offered herein..

Considerations in Using Onsite Evaluations

Several issues need to be considered as one determines how to make the best use of onsite evaluations.

1. If a project to be evaluated is "one of a kind", and no similar projects are to be assessed, the onsite evaluation approach will be tailored to fit that project and the purposes to be served by its evaluation. If, however, the project is one of a class of projects which share a common funding source and similar expectations, general onsite evaluation procedures and instruments might be designed for use in each of the separate onsite evaluations of those projects. The main difference in these two situations

lies in the fact that the questions, criteria and instruments in the first instance will be created de novo for each evaluation, while in the second a general set of questions, criteria and instruments can be developed at the outset and educators can be trained to use them thereafter with multiple projects. In the remainder of this manual, it is assumed that the onsite evaluations under consideration are part of an overall evaluation system, such as the Utah Title IV - C evaluation system. One exception to the above is in a later section on development of onsite instruments, where attention is given to how onsite evaluators might generate evaluative questions and instruments for use in the "one-shot" onsite evaluation. Otherwise, the more generalizable guidelines and procedures proposed can be readily adapted for use in the one-shot site visit.

2. If resources are limited, it might be necessary to conduct onsite evaluations of only a sample of the total population of projects or programs of interest. For example, in the Utah Title IV - C evaluation, eleven projects were selected for external onsite evaluation visits during the 1981-82 year. The projects to be visited were selected non-randomly from the twenty-eight funded projects to provide as much variability as possible along the following dimensions: (a) funding level; (b) location of project (Wasatch Front or not Wasatch Front); and (c) type of project. Whether project sampling is systematic or random, it is important that it be conducted in such a fashion that all projects have an opportunity of being included so that the need for accountability is felt by all projects.

3. An onsite evaluation is often only one facet of an overall evaluation design; site visits can be readily used in conjunction with mailed questionnaire surveys, administration of cognitive and affective measures, and the like. In such cases, the guidelines and procedures presented in this

manual are still relevant. Additional advantages can often be derived from such a combination of methods, however, for results of questionnaire surveys or other data collection might provide clues of possible problems or issues that should be probed in greater depth during onsite visits.

4. Onsite evaluation visits can vary in duration and intensity from a brief, informal stroll through a school to an intensive and extensive week-long observation and examination of virtually every facet of a school's curriculum. Although the guidelines and procedures presented hereafter would have some relevance for an onsite visit of almost any duration or intensity, they are proposed primarily for use in comprehensive, thorough onsite evaluations of one to three days in duration.
5. Onsite teams can obviously vary in size from a single evaluator to a large team presided over by a team leader or coordinator. It seems obvious that, all things being equal, larger, more complex educational programs or projects require larger numbers of team members to provide adequate coverage. It is also apparent that greater diversity of expertise can be represented in onsite teams with more team members. Although most of the guidelines and procedures presented hereafter could be used by a lone onsite evaluator, with only minor adaptations, they are designed for use by onsite evaluation teams. Many of the procedures assume a two or three person team and some minor adjustments would be necessary with large onsite teams.
6. Onsite evaluation systems can be managed directly by the funding agency or they can be managed by an agency contracted to coordinate the overall onsite evaluation system. For example, in the Utah Title IV evaluation, WIRE was contracted to design and operate the entire Title IV onsite

evaluation system. Management of onsite evaluations by either the funding agency or a contracted agency is infinitely preferable to having the programs or projects being evaluated arrange for their own external evaluations. This latter arrangement has little more to recommend it than does the dubious practice of allowing a bank to audit its own books.

3. RATIONALE FOR ESTABLISHING ONSITE EVALUATION GUIDELINES

If one major purpose of onsite evaluation visits (indeed, all evaluation) is to determine worth in order to differentiate among effective and ineffective programs and procedures, then it seems that the present processes and methodology used in the conduct of many onsite evaluations are failing. For example, in an early evaluation study of the Colorado state administration of Title III, it was noted that no Title III project in Colorado had ever been terminated as a result of an onsite visit.[4] Two alternative hypotheses obviously emerge. Either all projects were above average and worthy of continuation, or the Title III onsite evaluation procedures in use failed to differentiate good projects from those that failed and should have been terminated. Somehow, the latter conclusion seems more plausible.

Similar patterns of non-functional, non-discriminating onsite evaluations have occurred and continue to be prevelant in many onsite evaluation systems. Closer analysis reveals that such failures frequently stem from poor onsite procedures that produce unreliable and invalid information. Perhaps the greatest single factor that contributes to the abundance of abysmal evaluations is the widely shared misconception that any educated person can do an onsite evaluation, since it requires only that a competent professional spend time onsite, examining the program of interest, and thereafter report on the program's quality and effectiveness.[5] This problem is further exacerbated by the commonly held (and erroneous) notion that the person familiar with the content or substance of the program need know little or nothing of evaluation techniques, per se, to be an effective onsite evaluator. Such notions have been debunked elsewhere[6] and will not be repeated here. Suffice it to say that "onsite strolls" of content specialists have resulted in such broadspread misapplication of the professional judgment approach to evaluation as to render such an approach suspect, on its face, to many professional evaluators.

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[4] Goodwin, W. L. Evaluation of the Administration of the State Title III ESEA Program. Colorado Department of Education, 1971.

In this context, the importance of guidelines that will help improve and standardize onsite evaluation procedures should be obvious. They will also go far toward streamlining onsite visits and making them as non-disruptive as possible, thus helping to reduce the resentment which so often accompanies clumsily handled and intrusive onsite visits.

This manual is a first attempt to present proposed guidelines concerning onsite evaluation team visits for possible use by an agency or individual charged with planning or conducting onsite evaluations.

4. PRE-VISITATION CONSIDERATIONS AND ACTIVITIES

The utility of onsite evaluation visits will typically vary in direct proportion to the thoroughness and care that went into the evaluators' preparations for those visits. The several issues and activities that should be considered in preparing for onsite evaluations are discussed in the following sections.

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[5] This innocence is nearly as rampant as the naivete that leads many to believe they are experts on educational matters simply because they survived 12 years of schooling in the elementary and secondary schools.

[6] Worthen, B. R. "Content Specialization and Educational Evaluation: A Necessary Marriage?" Paper presented at the annual meeting of the American Education Research Association, Chicago, April 1974.

Focusing tha Onsite Evaluation

A poorly focused onsite evaluation visit will produce no better result than will a poorly focused camera lens. "Focusing", as used here, refers to efforts to attain clarity at the outset as to the purposes to be served by the onsite visit, the general procedures to be used, and the evaluative questions to be answered.

To focus the onsite evaluation, it is necessary to answer, as a minimum, the following questions:

- Is the onsite evaluation to serve primarily a formative or a summative purpose?
- Is a financial audit or educational compliance audit to be included as part of the onsite visit?
- Is the onsite visit part of an onsite evaluation system which contains extant guidelines and instruments or must evaluative questions, criteria and instruments be developed specifically for this one onsite visit?
- Is the onsite visit a part of a broader evaluation of the program or project and, if so, how do the several pieces of the evaluation fit together to enhance the study and avoid duplication of effort?
- What is the duration of the onsite visit? What activities will occur?
- How many persons will be on the onsite team, and what expertise need they possess? How will they be prepared?
- Who is responsible for actually directing the onsite evaluation activities? To whom is that person ultimately responsible -- i.e., who is sponsoring the onsite evaluation?

Answers to these questions constitute the basic message in the remainder of this manual.

Developing Evaluative Questions

It is possible to use a variety of approaches to structure onsite evaluations. For example, one might aim data collection techniques at determining the extent to which specific program or project objectives have been met. This is a perfectly respectable and useful way to approach an evaluation.

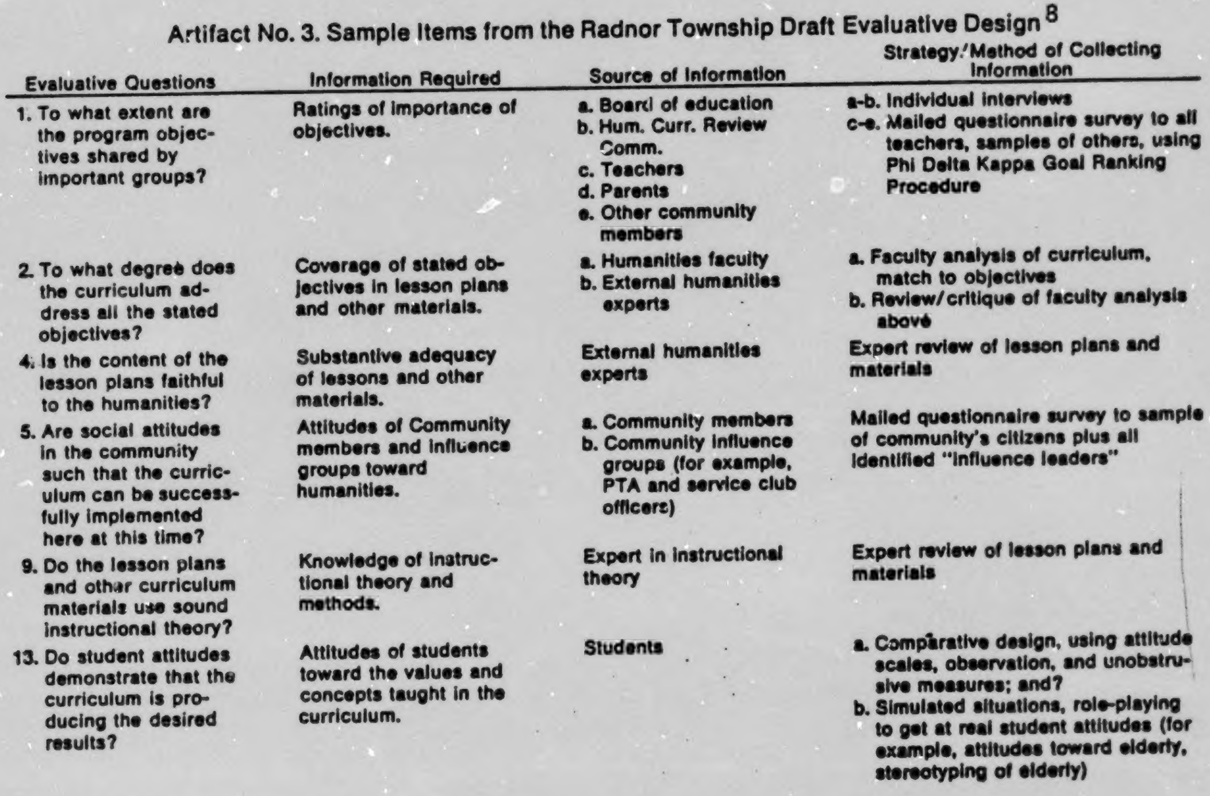
There is no more direct approach, however, than simply identifying the major evaluative questions which, if answered, will tell whether or not the program or project is working. Program sponsors, administrators and staff, and participants will each have specific questions they would like to see answered by the onsite evaluation. An easy first step is to ask everyone directly or indirectly involved in the program what they would like to learn from the onsite visit. Evaluators should feel free to inject their questions (and may need them for "pump-priming" so others get a feel of what is meant by "evaluative questions"), but a major portion of these questions should be drawn from those with a stake in the outcome of the study.

To illustrate this point, the following fictional diary entry of an evaluator planning the evaluation of a humanities program is offered, along with excerpts from a resulting draft of an evaluation plan:

> November 16 (continued). Finally, we spent the bulk of the time laying out the skeleton of an evaluation plan, which I suggested we do together. Some of the committee wanted the evaluation to focus on the curriculum goals and objectives, using those as organizers for collecting and reporting the data. But the board president noted that the objectives were really only part of the program, and she listed several important questions she felt would be overlooked if we were bound by the objectives. That was tremendous! It usually takes a fair bit of Rogerian counseling to get people to look beyond their written objectives, so I was quick to take the opportunity to tout the advantages of using evaluative questions as key organizers in an evaluation study. To illustrate, I put on the blackboard the questions I had gleaned over the past two days that they and others had said they would like the evaluation to answer. They got involved, started categorizing and collapsing questions, added others, and before we knew it, we had 17 evaluative questions that they all agreed should be dealt with in the study, plus a handful that were left in but viewed as lower in priority.
>
> With time running out, we took a few of the questions and, using a matrix I offered, went through the exercise of identifying information we would need to answer them, listing where and how we would obtain the information, and so on. It was great to see the enthusiasm of several of the

group when they began to realize how simple and straightforward it was. Once they had the hang of it, I suggested they fill out as much of the matrix as they could for the remaining questions and then send it to me. I would try to refine it, flesh out the evaluation plan, and send it back to them for their final approval.

Didn't get the plan finished, but I feel good about what we were able to accomplish. More important, this isn't going to be my evaluation plan, it is at least ours, if not theirs, built on questions they posed, and answered by information from sources they specified.[7]



Artifact No. 3. Sample Items from the Radnor Township Draft Evaluative Design[8]

Evaluative Questions	Information Required	Source of Information	Strategy/Method of Collecting Information
1. To what extent are the program objectives shared by important groups?	Ratings of importance of objectives.	a. Board of education b. Hum. Curr. Review Comm. c. Teachers d. Parents e. Other community members	a-b. Individual interviews c-e. Mailed questionnaire survey to all teachers, samples of others, using Phi Delta Kappa Goal Ranking Procedure
2. To what degree does the curriculum address all the stated objectives?	Coverage of stated objectives in lesson plans and other materials.	a. Humanities faculty b. External humanities experts	a. Faculty analysis of curriculum, match to objectives b. Review/critique of faculty analysis above
4. Is the content of the lesson plans faithful to the humanities?	Substantive adequacy of lessons and other materials.	External humanities experts	Expert review of lesson plans and materials
5. Are social attitudes in the community such that the curriculum can be successfully implemented here at this time?	Attitudes of Community members and influence groups toward humanities.	a. Community members b. Community influence groups (for example, PTA and service club officers)	Mailed questionnaire survey to sample of community's citizens plus all identified "influence leaders"
9. Do the lesson plans and other curriculum materials use sound instructional theory?	Knowledge of instructional theory and methods.	Expert in instructional theory	Expert review of lesson plans and materials
13. Do student attitudes demonstrate that the curriculum is producing the desired results?	Attitudes of students toward the values and concepts taught in the curriculum.	Students	a. Comparative design, using attitude scales, observation, and unobstrusive measures; and? b. Simulated situations, role-playing to get at real student attitudes (for example, attitudes toward elderly, stereotyping of elderly)

Figure 1: Excerpts From a Draft Evaluation Plan

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[7] Worthen, B. R., "Journal Entries of an Eclectic Evaluator", in Brandt, R. S., Applied Strategies for Curriculum Evaluation. Association for Supervision of Curriculum and Development, 1981, p. 74.

[8] Worthen, op. cit., p. 76. Even these samples are only partial, providing the first four columns of a matrix. Subsequent columns which would need to be completed for each evaluative question (but omitted here to conserve space) include the following: arrangements for collecting information (by whom, when, under what conditions), analysis of information, and reporting of information (to whom, when, how).

Project sponsors and staff ostensibly will know what important questions about project activities and effects should be posed. Not so the onsite evaluator(s), at least not at the outset. This requires that onsite evaluators absorb in advance all the information they can about the project and its various facets. This will generally require that evaluation team members read all available project descriptions and other materials. This advance preparation is discussed in greater detail later; it is mentioned because it serves as a basis for each team member generating tailored questions for use in obtaining particular information about the project during the course of the onsite visit. These questions should be sent to the onsite team leader so that they can be integrated with other questions during the development of onsite evaluation instruments. This activity is especially important in "one-shot" onsite visits where general evaluation guidelines and instruments do not exist *a priori*.

An additional example of onsite evaluation questions may help to illustrate the point. During the Utah Title IV - C onsite evaluation visits, data and information were collected relative to several evaluative questions. The specific questions about which information was collected are shown for both developmental and adoptable projects in Table 2. As can be seen in that table questions asked during onsite visits to developmental and adoptable projects differed somewhat because of different expectations for the two types of projects. These questions served as the driving force behind the evaluation instruments that were used during the onsite data collection activities.

Development of Onsite Evaluation Instruments

One problem with many onsite evaluations is that judgments resulting from them are indefensibly subjective. If left unguided, it is easy for each member of an evaluation team to approach the onsite visit with inherently different values, priorities, and preferences, with the result that the "blind men" will report the elephant rather

Table 2

Evaluation Questions for On-site Visits

DEVELOPMENTAL

1. Do project activities conform with approved plan or approved modifications?
2. Is the project responding to a priority area of significant need or weakness within the LEA?
3. Has an evaluation plan been implemented which will provide valid information about project effectiveness or impact?
4. If the project is effective, is there evidence that the LEA plans to continue the project after Title IV - Part C funding is completed?
5. Are appropriate and sufficient efforts being made to include private schools?
6. Do relevant LEA personnel sufficiently understand the purpose of Title IV and are they sufficiently aware of the expectations and requirements associated with accepting a Title IV - Part C grant?
7. Did the LEA make sufficient efforts to identify existing projects which may have met their needs?
8. Do project expenditures and financial accounting procedures conform with state and federal requirements?

ADOPTABLES

1. Did project activities conform with approved plan or approved modifications? Were activities implemented in a quality-like manner that should lead to improved educational practice? If an adoptable project, were the key components of the original validated project implemented?
2. Was the project responding to a priority area of need or weakness within the LEA?
3. Did the project evaluation provide valid information about project effectiveness or impact? Did evaluation yield information which can assist district in making decisions about project continuation?
4. If the project was effective, is there evidence that the LEA plans to continue the project after Title IV-C funding is completed?
5. Were appropriate and sufficient efforts made to include private schools?
6. Are relevant LEA personnel sufficiently aware of and do they understand the purpose of Title IV-C; and are they aware of the expectations and requirements associated with accepting a Title IV-C grant?
7. In selecting an adoptable program to meet their identified need, did the LEA sufficiently consider other options besides the one ultimately selected?
8. Did the project have sufficient contact with the original developer or with certified second generation trainers?
9. Do project expenditures and financial accounting procedures conform with state and federal requirements?

differently. This same problem extends to situations where different teams are assigned to conduct onsite visits of similar projects (e.g., Title IV - C developmental projects). If left to develop their own procedures and instruments, one team, guided by feelings of mercy, may end up rating a poor project more generously than the rating received by an excellent project which is evaluated by another team prone to identify and focus on project weaknesses.

In both of the above examples, lack of standardization of data collection procedures and instruments effectively prevents any sensible summarization across judgments of onsite team members or teams. To prevent such divergent perspectives of onsite teams or individual team members from reducing the utility of onsite evaluations, it is proposed that the way in which evaluation information is collected by each external onsite evaluation team be standardized to allow for better summarization across projects or across individual team member's ratings, where only one project is involved.

To effect such standardization, it is necessary to develop instruments that incorporate the previously agreed-upon evaluative questions, to standardize criteria and data collection techniques insofar as possible, and to provide onsite evaluators with a notion of the type of information needed for the final onsite evaluation reports. By providing more structured training and instrumentation, the equity and uniformity of evaluative judgments can be ensured and statements about the quality and impact of projects evaluated will be much more systematic and comprehensive.

The topic of instrument development is far beyond the scope of this manual. It is important, however, to make a few comments about matters of particular concern in constructing instruments for use in onsite evaluations.

First, onsite data collection forms may rely on multiple data-collection efforts. Onsite evaluators frequently interview members of the project, school, and district staffs, examine project records and materials, and observe the project in operation. Consequently, interview schedules, content analysis guides, and observation rating scales may all be a part of the instrumentation for an onsite visit.

Secondly, in developing onsite rating scales, it is imperative that typical scaling problems (where different interpretations by different raters result in their assigning different weights and points on the same criterion) be eliminated or reduced to a minimum. This can be done by careful use of anchor points and careful standardization of what is meant by assignment of a particular score value or evaluative label. For example, if one were developing a rating scale item to be used by onsite evaluators to judge the importance of a particular research project in the area of special education, the use of anchor points outlined below in Table 3 should help to standardize ratings.

Table 3

An Example of the Use of Anchor Points

Assign the points below IF:	This description reflects your conclusions about the importance of this project
0	The project has little or nothing to do with education of the handicapped.
0	The general area of investigation is undoubtedly important but the project fails to specify any particular research problem in Special Education to be addressed.
5	On face value the project is important, but there is no documentation, on the basis of either research or theory, that investigation in this area would prove fruitful.
5	This project would provide information of some interest, but the issue addressed is of relatively little consequence to the field of Special Education.
8	The project is justified in terms of the current state of the art. The issue is of interest and results should be of some value, but this is not a pressing problem in Special Education.

(continued)

(Table 3, continued)

10	The research problem is clearly stated, well-justified on the basis of previous research, and of significance in a narrow area of Special Education.
10	While not one of the most critical problems in the field of Special Education, this is an area where additional data would be of definite value to the field.
15	This project has built an extremely strong case for the importance of the research being conducted, based on theory, previous research and current practice.
15	The results of the research activities conducted on this project to date demonstrate that it is clearly one of the most critical projects in Special Education to date.

A copy of a sample onsite evaluation instrument which attempted to standardize ratings in a somewhat different fashion appears in Appendix 1 to this manual, along with accompanying instruments for collecting financial audit data. A sample of a more typical onsite evaluation instrument which is useful, but is more suspectible to scaling problems, appears in Appendix 2.

Finally, a great deal of time and energy can be saved during the onsite evaluation if the sponsoring agency or the team leader will take time to prepare sufficient numbers of tailored data-collection forms for use by each evaluator. This is vastly preferable to the more typical situation where each team member receives an omnibus list of questions, only some of which are appropriate to any one interviewee. This requires the evaluator to flip through the instrument to locate the questions that should be addressed, for example, to a school principal. It is far preferable if the team leader assembles in advance the questions for particular categories or classes of interviewees and duplicates copies of separate, tailored interview schedules for team members to use with different types of individuals with whom they talk.

Similar thought and foresight in preparing for other aspects of data collection can go far toward making better use of time spent during onsite evaluations.

Selection of the Onsite Team Leader

The selection of the team leader will influence the outcome of an onsite evaluation more than almost any other factor. Even the best evaluation procedures and instruments can become useless tools in an ineffectual hand. It is important that the onsite team leader be someone who is not only credible but also someone with experience and demonstrated competence in onsite evaluation. There is no place for "cronyism" or political appointments in selecting onsite team leaders. Individuals and agencies who make such choices reveal clearly that their intent is either patronage or whitewashing, not honest evaluation.

Team leader selection for formative onsite evaluations could be a function of either the sponsoring agency or of the program or project staff. For summative onsite evaluations, team leader selection should be a function of the sponsoring or regulatory agency faced with making the final decision about the project or program.

Recommended criteria for the selection of team leaders include the following, in descending order of importance.

1. Team leaders should have no known close personal or professional relationship with the project director or staff.
2. Team leaders should have a general understanding of educational evaluation procedures, specifically with regard to onsite procedures. Ideally, team leaders will be able to point to previous successful experience and demonstrated competence in directing onsite evaluations. As a minimum, team leaders should be able to point to previous successful experience as a member of an onsite evaluation team.
3. Under certain circumstances, it may be appropriate to select team leaders

with some attention to matching academic background and expertise to the major content or activities of the project.

Selection of Onsite Team Members

As is true of teams in other areas of human endeavor, evaluation teams can ill afford to carry a "weak player". Evaluation resources are generally so limited that it is already difficult to finance as many team members as necessary to do a thorough evaluation. In such a context, it is wasteful, in terms of real cost, to allow an unproductive or inexpert person to fill one of the team positions. In terms of opportunity cost, it borders on being criminal, for it not only wastes resources but also prevents that team slot from being filled by a competent individual who may make the difference between a successful or unsuccessful evaluation.

Recommended criteria for selecting team members include the following:

1. Team members should have no prior association with the project in a consultant, project participation, or advisory capacity.
2. Team members should be known to be professionally competent persons with expertise either as evaluators or in areas directly related to the substance of the project.
3. Team members should have no known biases concerning the project.
4. Team members must be willing to spend adequate time for advance preparation as well as for the onsite visit and subsequent debriefings and report writings, as required.

Team members should be selected by mutual consent of the team leader and the sponsoring agency. Where either party is unfamiliar with the person, letters of inquiry and recommendations would be in order.

Composition and Balance of the Onsite Team

As was noted earlier in this manual, an onsite evaluation team can range in size from two members upward. Ideally, at least four to six persons (according to the nature and complexity of the entity being evaluated) should be included on the team. Resource constraints often dictate, however, that team size be limited to two or three persons. Team size should be negotiated between the team leader and the sponsoring agency. In fact, all details connected with team members' selection should ideally be decided cooperatively between the team leader and the funding agency sponsoring the evaluation. Some general suggestions concerning selection of team members follow.

1. The team may include members of the appropriate advisory bodies (e.g., in the Utah Title IV - C evaluation, all members of the Title IV State Advisory Council were invited to accompany one of the external onsite evaluation teams, and several members of the Council took advantage of this opportunity).
2. Content and/or process specialists should be included on teams, as appropriate.
3. Team members should understand and be able to use sound evaluation processes.
4. There should be institutional balance by providing team member representation from the sponsoring agency, advisory councils, local and state education agencies, universities and colleges, and so on, where such balance seems advantageous.
5. The possibility exists of using one or two team members from a prior onsite team which has visited the same project (if this is a second or third onsite visit to a project) for purposes of continuity. This, however, should be negotiable between the team leader and the sponsoring agency.

6. Lay persons and directors of similar educational projects or programs may be included on the team as the team leader and the sponsoring agency deem appropriate.

Recruiting Persons to Serve on Onsite Teams

As noted earlier, the selection of the team leader is the province of the sponsoring agency. Ideally, such selection would involve personal or telephone contact with each individual sought as a team leader. Given practical constraints, however, it may be necessary to recruit team leaders by mail. A sample of one letter previously used for that purpose appears in Appendix 3.[9]

After team members have been selected cooperatively by the team leader and sponsoring agency, they should be invited to serve on the team. Which party issues that invitation is another matter for negotiation, since each form of recruitment has its advantages. Again, personal or telephone contacts would be preferable, but letters similar to that referenced above, modified as necessary in details, could be used if necessary.

Pre-Visit Arrangements

Suggestions concerning some of the most important preparations for onsite evaluation visits are provided in the following sections that deal with advance notification and other communications, materials preparation, team training, and the like. Many of the suggestions are supported by examples which appear in the several appendices that are referenced.

Prior to discussing specific communications and arrangements that are important in preparing for an onsite visit, it may be helpful to portray a general conception of how the various "actors in the drama" relate to one another. Figure 2, which should be self-explanatory, is an attempt to provide such a conception, which underlies some of the suggestions that follow.

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[9] This letter, and other letters appearing in the Appendices, characterized as correspondence from the "Utopia Department of Education" are letters which have been altered as to identity since their author could not be reached to obtain permission for their use.

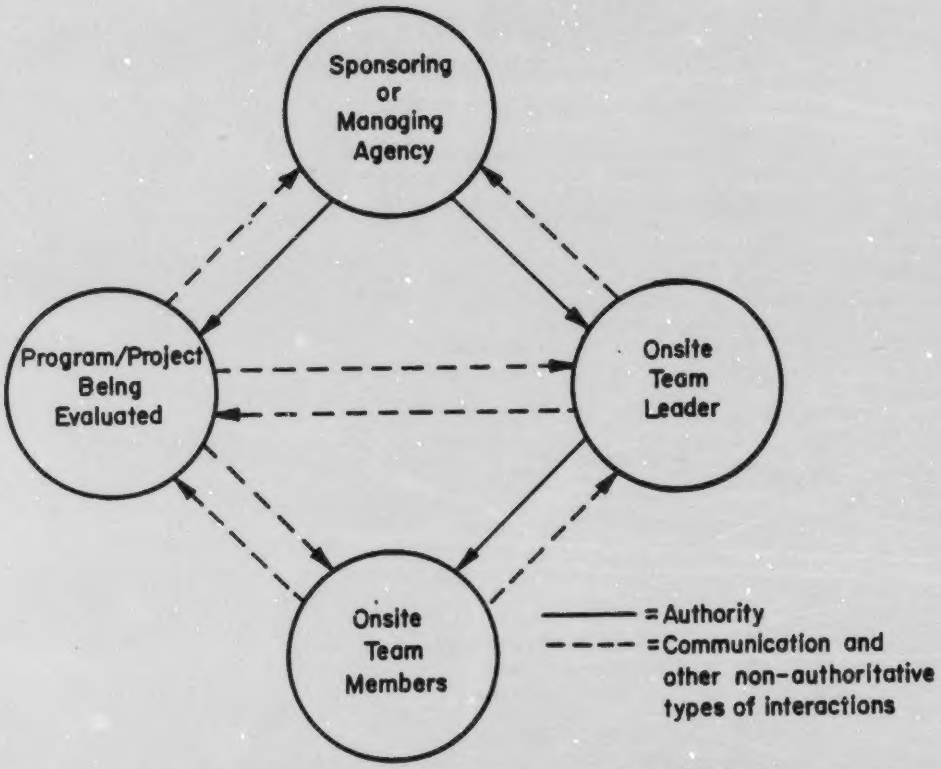
Sponsoring or Managing Agency
Program/Project Being Evaluated
Onsite Team Leader
Onsite Team Members
= Authority
= Communication and other non-authoritative types of interactions

Figure 2: Relationships Among Groups and Individuals Involved in An Onsite Evaluation

Funding agency notification of sites about the upcoming onsite evaluation. Nothing undermines an onsite evaluation visit's ultimate success more than to have it burst onto a program or project, unannounced, like an educational Pearl Harbor Indeed, project and program administrators and staff members should be informed well in advance of the fact that an onsite evaluation is planned, the purpose of that visit, when (generally) the visit will take place, and the general focus, evaluative questions, and activities which will take place during the onsite. A good example of a communication which accomplishes these ends is shown as Exhibit A in Appendix 4. Such advance information might also be provided within a more general context where information about onsite evaluations is included along with information about other project operation and evaluation activities. An example of such a memorandum appears as Exhibit B in Appendix 4.

Once program or project administrators have been advised of the general purposes and parameters of the onsite evaluations, it is appropriate for the funding agency (or team leader, as discussed in the next section) to notify the site administrator(s) of the specifics necessary to prepare for the onsite visit. This communication should include the following:

1. The date(s) of the onsite evaluation team visit.
2. The name of the team leader (including background).
3. The composition of the team (including addresses and background information).
4. A request to supply the team leader with materials available (or an annotated list of materials) which might provide background on the project and its achievements.
5. A request that the project director and staff complete and return a "Pre-visitation Information" form (described hereafter) at least two weeks prior to the onsite visit so that each onsite team member can receive a copy prior to the actual visit.
6. A request that the project director send the team leader a list of the following:
    - names of project staff;
    - membership of advisory boards; and
    - lists of teachers, administrators, and specialists working with the project (where feasible).

7. A request that the project director and staff cooperate fully with the team leader in setting an agenda and facilitating the team visit.

Two sample letters used by one sponsoring agency to notify project directors of specifics appear in Appendix 5. The first letter (Exhibit C) is designed to be followed by the second (Exhibit D).

Initial team leader contact with site administrator(s). In cases where the funding agency has contracted with another agency to manage its onsite evaluation system, the contact about specifics of the onsite may come from an individual within that agency, as is the case in Exhibit E in Appendix 5.

In many cases, however, once the project administrator is aware of a pending site visit and the identity of the team leader, it is best to leave it to the latter to initiate contact to explain the specifics of the onsite preparation and activities. Depending on geography and resources available, this may be a personal or telephone contact or it may be a written communication. Whatever the format, the initial team leader contact with the project director should accomplish the following purposes:

- To introduce the team leader to the project director.
- To request that the project director send the desired materials to other team members immediately.
- To discuss a tentative agenda, including: (1) kinds of persons the team should interview; (2) sampling of interviewees within each category; and (3) arrangements and sites for interviewing people (interview rooms).
- To set the tone for evaluation by indicating the desire and responsibility for collecting as much information as possible in the time allotted in order to be constructive and helpful to the project and the sponsoring agency.
- To indicate a desire to avoid sophisticated and lengthy "dog and pony show" types of briefings. Because the materials have been sent to and

read by all team members in advance, the time for project briefing of the onsite team should typically be held to a minimum (briefing no longer than one hour, including time for discussion).

- To discuss lodging accommodations, which should be convenient to project site(s). The team leader should request the project director to make lodging reservations (where necessary) and send confirmed reservations and detailed directions to the initial meeting site to all team members.
- To confirm the onsite visit agenda with the project director.

In some instances, unusual problems or circumstances will require significant acceleration or delay of the onsite visit. Such rescheduling should be approved by the sponsoring agency, since often there is a specific and important rationale for the time period originally slated for the onsite evaluation. For example, in the Utah Title IV - C onsite evaluation system, onsite visits were conducted in March for developmental projects and October for adoptable projects. The March timing for visits to developmental projects was because all of these projects were eligible for continuation funding during the following school year. Continuation proposals were due on April 1. By conducting the onsite evaluations in March, results of these external onsite evaluations were available to the proposal review teams, and it was hoped that the results of the external onsite evaluations would be helpful to projects in writing their continuation proposals. Visits to adoptable projects were scheduled in October so that projects (which were funded from July to June of the prior year) would be completely finished and would have had time to close out their financial records and complete any internal evaluation reporting prior to the onsite evaluation visits. In addition, by scheduling the visit in October, external onsite evaluation teams were able to determine the degree to which districts were actually continuing the project beyond the period supported by Title IV - C funds.

Similar rationales would often make extensive shifts in the schedules for onsite visitation dysfunctional.

Advance preparation by site personnel. As was implied in previous comments and noted in the sample letters in Appendix 5, project or program administrators and staff can reasonably be expected to engage in some advance preparation to make the evaluation team's time on site as productive and efficient as possible.

First, project staff will need to assemble and mail in advance, as requested, all descriptive project materials, any prior evaluation reports, or any other documents they or the team leader may view as useful to the team members.

Second, it is often useful to ask program or project administrators to complete and return a "Pre-visitation Information Form", such as that shown in Appendix 6.

Finally, it is probably inevitable (and to only some degree inappropriate) that site personnel will feel compelled to make advance preparations intended to present their project in the "best possible light". To some extent, this can be useful, such as time spent posting all current expenditures in preparation for a financial audit. Over-anxiety about upcoming onsite visits can also lead to unfortunate, sometimes pitiful, efforts to prepare an artificial "show and blow" presentation, complete with rehearsals, advance censoring designed to prevent inteviewees from speaking freely on certain topics or issues, and the like. Fortunately, such travesties are usually as transparent to any qualified evaluation team as they are rare.

Team leader communication with team members prior to the onsite visit. It is not the purpose of this manual to prescribe how a team leader should orchestrate the preparation of his or her team, for every qualified team leader will have preferred methods for contacting and preparing their team colleagues. It does seem, however, that some minimal guidelines might be suggested. For example, the team leader will doubtlessly wish to communicate to other team members, in some fashion, information on the following points:

- Introduction of team leader to team member, if the two are unaquainted.

- Confirmation of the dates, places, and expected hours of the onsite visit.

- A caution that team members cannot anticipate being present for only a portion of the onsite visit (and a suggestion that, if a team member cannot meet for the entire time, the team leader must be informed immediately so that a replacement can be obtained).

- Notification that materials should soon arrive from the project director, including descriptions and other project materials along with lodging confirmation and directions to the meeting site. It is also wise to urge that the team leader or project director be notified immediately if the materials are not received by a specified date.

- The requirement that, because of the limited time onsite, all materials should be read completely in advance.

- A request that the team member jot down (as project materials are read) any general or specific questions which should be posed to interviewees and send those questions to the team leader as soon as possible so that they might be incorporated in onsite instruments.

- Details about financial arrangements, expense forms, and the like, including specification of honoraria and travel reimbursements.

Prior to the onsite evaluation visits in the Utah Title IV - C evaluation, each evaluator was provided with a packet of written materials outlining the purpose, procedures, and intended data to be collected during the visits. They were discussed with each evaluation team leader by WIRE staff to be certain each onsite team was well prepared to implement the outlined procedures. The written materials distributed to each of the evaluators contained information which sensitized team members to procedures and issues to be dealt with in subsequent team training sessions.

Advance preparation and training of team members. Adequate preparation of the onsite team will typically depend on three interrelated but separate activities, as described below.

1. First, the team leader should review all available project or program

materials (e.g., the original proposal and any subsequent revisions, written descriptions of project activities or products, or prior evaluation reports). The purpose of this review is twofold: (a) to familiarize the team leader thoroughly with the project; and (b) to enable the team leader to select the materials that should be sent to all team members before the onsite visit. There need be no apology for asking team members to read a substantial quantity of materials in preparation for a site visit if all of those materials are relevant and helpful. It is inexcusable, however, to burden busy professionals with the task of wading through reams of superfluous printed materials to find the one, succinct twelve-page document that summarizes all important information about the project.

2. Second, the team leader should send to team members all advance preparation materials, including as a minimum the following:

   - A brief description of the purposes of the funding and of the onsite review (Exhibit F in Appendix 7);[10]
   - All project or program materials (as described in the previous section);
   - Copies, as appropriate, of correspondence among project director, funding agency, and team leader concerning the onsite evaluation; (Exhibits A-E in Appendices 4-5);
   - A step-by-step list of procedures for conducting the onsite visit (Exhibit G in Appendix 7);
   - Forms which will be used in constructing a summary rating of the project on each criterion, along with instructions for how to rate on each criterion (See Appendix 1);
   - Guidelines for allowable expenditures within the funding authorization (Exhibit H in Appendix 7) and, if appropriate, financial audit forms and instructions (Exhibit I in Appendix 7 and final two pages in Appendix 1);
   - A format for the final report cover sheet (Exhibit J in Appendix 7) and for the final report, along with a description of the contents to be included in each section (Exhibit K in Appendix 7); and

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[10] The parenthetical references in this list are intended to help the reader locate the sample(s) of each item in the appendices to this manual.

- Other materials uniquely relevant to the particular onsite visit (for example, the Standards for the Ethical Conduct of Psychologists and Psychiatrists may be relevant preparation for evaluation of a community mental health clinic).

All of the above materials should be sent under cover of a memorandum explaining what they are and what each team member should do with them; a sample of such a memorandum appears as Exhibit L in Appendix 7.

3. Third, a training session should be scheduled to make certain that all team members understand and are prepared to use the onsite procedures and instruments.[11] Depending on proximity and resources, this training may occur on a date prior to the onsite or in a conference telephone call. Normally, however, such training will occur as the first activity once the team is assembled at the site, often on the morning of the first day (or on the preceding evening).

The time at which training is scheduled is less important than the need for such training to receive adequate time and attention. Strangely, many team leaders seem reluctant to spend much time making certain all team members are in agreement about how to apply the various criteria and carry out the onsite procedures. This reluctance is occasionally reinforced by a prima donna team member who exhibits impatience at being told how to do what s/he obviously feels very well prepared to do. Fortunately, such behavior is rare among experienced and knowledgeable evaluators. The most expert (and often the best reputed) onsite evaluators are not only tolerant of time spent on training but are often insistent on it, for they understand full well the subjectivity and unreliability that creep into onsite evaluative judgments when scaling and similar difficulties are not controlled.

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[11] On one-shot onsite evaluations, this initial session may also include the task of reaching agreement on evaluative questions and instruments to be used during the onsite visit.

Model onsite evaluation reports. "A picture is worth a thousand words" is as applicable in evaluation as elsewhere. The use of a model report is among the best ways to communicate expectations to those who will write up an onsite evaluation report. Although it may be possible to use an actual evaluation report, selected for its quality, it is often difficult to disguise the program or project well enough to avoid breaches of confidentiality. A better strategy is to construct a hypothetical model report which displays the format, level of detail, and style of exposition desired. This model report may be annotated to describe the rationale for the various report sections. It can also be helpful to include examples of both good and unacceptable ways of reporting, so readers can also be forewarned of what not to do.[12]

An onsite "pre-visit". Some funding agencies urge each team leader to make a pre-evaluation visit to the site in advance of the full team visit. This has been suggested in order to facilitate communication, set the schedule for the onsite team visit, clarify points connected with the visit, and so on. Although these activities are doubtlessly useful, they may not always be sufficiently compelling to outweigh the possible disadvantages of such a visit that might result if the team leader develops extensive camaraderie with project director and staff. The difficulty of maintaining objectivity under such conditions should not be minimized. Also, these same outcomes might be attained in many cases through more efficient, less expensive, non-biasing techniques outlined earlier in the manual. Given those concerns, a pre-visit to the site by the team leader is not always recommended as a part of all site visits, although it is left optional to the team leader who has a particular rationale for pre-visitation and has that rationale approved by the funding agency.

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[12] Readers who wish examples of the use of written models of the type described here are referred to two accompanying technical manuals; Wasatch Institute for Research and Evaluation, Technical Assistance to Local Education Agencies: A Manual for Technical Assistance Providers and Recipients: Logan, Utah. 1982. and Wasatch Institute for Research and Evaluation, Proposal Review: A Manual for External Review Panels: Logan, Utah. 1982.

Where there is no reason to believe a pre-visit would have the deleterious biasing effects described above (and where proximity and resources make it feasible), an advance onsite visit by the team leader can be useful. The purpose of this visit is not to evaluate, but rather to establish a climate and take care of details that, collectively, will enhance the actual onsite evaluation. Used properly, a pre-visit should allow the team leader to accomplish the following:

- Establish rapport with the project/program director to attain necessary cooperation;
- Convince the project/program director that onsite evaluation will be fair and professional in all particulars;
- Reach agreement with the project/program director about advance preparations for the site visit and details relating to the onsite activities;
- Obtain available project/program materials; and
- Inform the project/program director of how results of the onsite evaluation will be reported.

A sample agenda used in one pre-visit in the Utah Title IV - C onsite evaluations is shown in Figure 3 to illustrate the items that can be accomplished during such an interview.

PRE-VISIT INTERVIEW AGENDA

Agenda Item	Material To Give Project Director
1. Introduction; provide for future contact	Business card
2. Inform project director of team composition and rationale for selection.	
3. List of team members and institutional affiliation.	
4. Review purposes of onsite visit a. federal requirement - summary evaluation of Utah Title IV. b. Utah's focus on onsite evaluation as primary mode. c. twenty-five percent of adoptables selected for onsite on the basis of a stratified random sample. d. onsite visits of one-day duration to collect data and review records with exit interview. e. this pre-visit intended to make onsite evaluation more productive. f. a written report sent to USOE, after review by project director.	Feb. 14 memo to project directors
5. Review evaluative questions to be addressed during the onsite.	Summary Rating Sheet
6. Review preparations for fiscal audit.	Allowable Expenditures Summary and Financial Audit Sheet
7. Review schedule for onsite visit.	draft of onsite schedule
8. Agree on sampling procedures (if any) to be used to select interviewees.	NA
9. Obtain (or have project director send): a. project proposal b. any prior reports c. budget information d. descriptions/project materials e. any funding agency approval for deviations from original proposal f. any evaluation plans or instruments currently in use	NA
10. Confirm arrival time and logistic arrangements as necessary	NA

Figure 3

Sample Pre-visit Agenda

5. CONDUCT OF ONSITE EVALUATION ACTIVITIES

Procedures and considerations important to assure an effective, efficient, and objective onsite evaluation are discussed briefly in the following sections.

Amount of Time On Site

As noted earlier in this manual, the amount of time allotted for onsite visits varies greatly. Many onsite evaluation systems depend on one-day visits, while others use one full day preceded by an evening for orientation and an initial team meeting. Under many circumstances, however, a one-day onsite is simply not enough, and it is recommended that the time onsite be increased to at least two days. Shorter periods run a risk that the onsite evaluation process will fail to provide the kind of discriminative information necessary to differentiate among worthwhile projects and procedures. Several of the procedures and recommendations included in this manual are proposed to correct this deficiency and simply cannot be completed in less than two days.

In an earlier evaluation of Colorado's administration of Title III, new (first year) and old project directors were asked their opinions on seven questions relating to onsite evaluation. The data in Table 4 are drawn from these responses.[13] In this study, directors of old projects and new projects both feel that individual onsite evaluation visits should be made at least once a year (or in some cases more frequently). Perhaps more important, a sizeable majority suggested that onsite evaluation visits should last at least two days (although the preferred duration tended to be longer for directors of old projects than for directors of

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[13] Goodwin, op cit, p. 43.

TABLE 4

TITLE III PROJECT DIRECTORS' VIEWS ABOUT FREQUENCY AND DURATION OF ONSITE EVALUATIONS

QUESTION	CATEGORY	RESPONSES			
		Every 2 years (%)	Every year (%)		Every 6 months (%)
How often should an onsite evaluation be made	Director of Old Project	0	56.5		43.5
	Director of New Project	9.1	63.6		27.3
		1 Day (%)	2 Days (%)	3 Days (%)	3 Days (%)
How long should an onsite evaluation last?	Director of Old Project	17.4	43.5	34.8	4.3
	Director of New Project	45.5	36.4	18.2	0

new projects). This finding parallels the author's experience in interacting with numerous administrators in planning their onsite evaluations. More experienced project directors seem to feel that sufficient formative evaluation help is derived from an onsite evaluation team visit to warrant spending more time on such activities than the one-day visit typically allotted.

In the following sections, the onsite agenda and activities presume a two-day period on site to conduct the evaluation. If onsite visits of a different duration are planned, appropriate adjustments would have to be made.

If a two-day period is assumed, it does not necessarily follow that the period will cover two consecutive full days. It may be more desirable in many instances to distribute the two-day time block differently. For example, it might be advisable to begin at noon on one day, using the remainder of that day and the second day to collect data. Then the evening of the second day could be used by the team to complete their rating of the project and agree on important points to discuss with project staff. This would allow the morning of the third day to be used for the exit interview, completing the site visit by noon of the third day.

Also, allowances should be made for distributing the two-day period somewhat differently as may be necessary to accommodate very unique scheduling problems (mountain driving conditions, long distances, etc.). Since it is difficult to cut into three days for team leaders and members, however, the actual scheduling of the two days should be negotiable between the team leader and the project director.

In subsequent sections, it will be assumed, for convenience, that the onsite evaluation will occupy two consecutive full days.

Onsite Agenda and Activities

Each of several essential activities and considerations dealing with the actual conduct of the onsite evaluation are discussed briefly below. Suggested time allotments are also given for each activity; obviously, these can only serve as general guidelines and will vary widely in practice.

Brief team meeting (first day: 30 minutes). This will typically be the first onsite meeting of the evaluation team and should be attended by the onsite team only. Assuming that training (see previous section) has already occurred, this can be a short meeting designed merely to re-orient team members to the purpose of the evaluation and to their specific tasks. If training is to be included in this session, then the time will need to be extended appropriately. In this initial session, the following activities should be accomplished:

1. The team leader should re-emphasize the purpose of the site visit and the expected products.

2. The team leader should point out that the success of the visit is directly dependent on the collection and interpretation of as much accurate, pertinent, and objective information as it is possible to obtain in two days.
3. The team leader should be certain that each member has sufficient numbers of ratings scales, interview forms, etc., and
4. Agreement should be reached on interview assignments, locations, and times, including the time at which the team will reconvene to assess its progress.

One point should be stressed. Although it is generally advantageous for all team members to be present at pivotal events, such as initial briefing of the team by the project director, exit interviews, and the like, there is seldom a need for multiple team members to be present at very many of the individual interviews. If simultaneous interviews are scheduled and the onsite team splits up to cover those interviews, considerably more data can be collected during the period of the onsite visit. If such a procedure is used, it is wise to have multiple team members in on a small sample of interviews to assess the reliability of their perceptions and ratings.

Team briefing by project/program staff (first day: 60 minutes maximum). It is inevitable that project or program directors and staff members will want to spend as much time as possible orienting the onsite team to that which is to be evaluated. Indeed, if unrestrained, many local administrators and staff members will commandeer the agenda with the result that the evaluation team will have little time left for data collection after the six-hour orientation session is completed.

During this initial orientation session, the following activities should be accomplished:

1. The briefing should include only specific nuances and idiosyncratic information not otherwise or previously available to the onsite evaluation team through prior information sources. This is not generally the time for a

slide show or for ". . . general comments about our project," other than as requested by team members. Lengthy and repetitive orientation sessions can be avoided if the team leader has previously asked the project director to use it for only a quick general overview and an opportunity to allow for clarification. If this request is forgotten, it may be necessary to tactfully guide the project/program administrators or staff back on track by reminding them that the team has received and carefully read all advance materials describing the project. Of course, if advance materials were not available, then appropriate modification in the initial briefing session will be necessary.

2. There should be time available for the team to ask brief questions of any of the staff concerning details of the project on which they are unclear.[14] The purpose here is to correct misinterpretations which could predispose interviewers to make systematic errors in subsequent data collection.

The timing of the initial briefing can also be important. In a two-day onsite visit, the first direct contact between the onsite evaluation team and the project staff should probably be early on the morning of the first day. Onsite teams have sometimes shown a tendency to be influenced almost as much by initial social hours as by facts and hard data. Making the first contact in the morning of the first day has the effect of avoiding social impediments to objective evaluation.

Data collection (remainder of first day). Several comments about data collection procedures are in order.[15]

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[14] Team members will doubtlessly wish to have more extended individual interviews with the project director and staff during the subsequent data-collection phase to probe specific areas in greater depth than is appropriate in this more general briefing.

[15] Additional information about planning data collection procedures and instruments and training team members in their use appears in previous sections of this manual.

1. Data collection techniques must be tailored so as to be appropriate for the project. The nature of the project, in a sense, determines how and where interviews, observations, archival data searching and other data collection techniques will be used.

2. It is suggested that efficient interview procedures be used to enable each team member to interview as many persons as possible, maximizing the total number of persons who can be interviewed during the site visit. As noted earlier, it is generally ineffective, inefficient, and unproductive to conduct many interviews with either the team or interviewees in groups. Some general interview guidelines include the following:

   - Break up into individual interviews or, at the most, groups of two interviewers. The one-on-one interview is obviously the ideal. Avoid extended "interview sessions" where the whole team is invited to meet with the advisory board or project staff.
   - Conduct as many intensive, in-depth interviews as possible within the two days.
   - Make interview procedures more efficient by thoughtful use of telephone calls to facilitate wide geographic contacts (e.g., random sample of parents in the community).

3. General suggestions for interview procedures for each of several possible categories of interviewees appear below:[16]

   Staff

   - Interview all project staff. (Staff in most cases can be considered those persons with at least 20 percent of their fulltime equivalent salary on the project payroll.)
   - Project staff should be interviewed apart from authorities (principals, project director, superintendent, and so on).
   - Project staff should be assured that their anonymity will be preserved, except in cases where that assurance cannot be given because of small staff size or other factors that might preclude anonymity.

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[16] These procedures and categories will, of necessity, vary somewhat with each onsite visit.

Cooperating Personnel

- A wide sample of project cooperating personnel (such as teachers and advisory or policy boards) should be interviewed. Their anonymity should be preserved also.

Consumers

- Anonymous interviews should be conducted with potential consumers or users (and proposed users) of the project and its products.
- This sample of persons from the consumer or user audience for whom the project is directed and exists should be helpful in determining the extent to which the products of the project will be useful.

As a practical example, most of the above data collection activities were used in the Utah Title IV - C onsite evaluation visits. During the onsite evaluations, data and information were collected relative to several evaluation questions. Members of the evaluation team collected data by: (1) interviewing members of the project, school, and district staff; (2) examining project records and materials, previous evaluation reports (internal and external), and project deliverables; (3) observing the program in operation (where appropriate); and (4) reviewing the project's financial records. Based on the data collected from these activities, the evaluators rated the project on each of the evaluation questions and criteria. The written material distributed to each of the evaluation team members contained additional information about how these ratings should be applied to each of the individual questions. In addition, during the training of evaluation team chairpersons, each question was discussed in detail and examples were given for each rating category for each question. Thus, although the ratings depended on professional judgment and consequently were, to some degree subjective, the ratings could be done reasonably consistently across projects by different evaluation teams.

Team meeting 2 (evening of first day). The team should assemble at the end of the first day to compile data. There are several items to which the team should attend at that time.

1. This is a good time to check on the progress of the data collection thus far and identify problems in collecting data.
2. The agenda should be modified where necessary and the team leader should communicate this as quickly as possible to the project director.
3. In addition, the team may share general information and discuss changes in their interview schedule, logistical problems, and so on. It may be wise to avoid excessive subjective discussion concerning partial impressions of the project at this point. Tentative observations should be identified as preliminary and subject to change as further information is collected. The point is that partial or half-formed impressions, if not clearly identified as such, could multiply out of proportion as a function of many people naturally, but prematurely, supporting and reinforcing one another's opinions in the camaraderie of the moment. In any case, possible misperceptions based on only one day of data collection (so far) could distort the data collection on the second day, resulting in an inaccurate evaluation of the project.
4. The team should be free to spend the rest of the evening as they wish, including further interviews if desired.

Second day data collection (morning of second day). The morning of the second day should be used to complete data collection activities. If some team members can be spared without sacrificing important information, this can also be a useful time for team members to summarize their individual ratings and perceptions prior to attempting to reach total team consensus on an evaluation of the project.

Team formulation of overall ratings and evaluative summary (second day: four hours). It is a sizeable step from individual team member impressions and ratings to a cohesive team report to which all team members are willing to subscribe. The steps and activities to reach team consensus are outlined below.

1. Toward the end of the morning (or perhaps this could be accomplished while the team eats lunch together), the team should reassemble for data sharing and begin to formulate the team response to the onsite rating forms. This rating process should be completed by shortly after lunch.
2. Between approximately 1:00 and 3:00 p. m., the team leader should assign each team member to record in writing three basic things regarding their onsite visit component responsibilities.[17] The three items are:
   - Project strengths;
   - Project weaknesses; and
   - Recommendations for improvement or modification.
3. Between approximately 3:00 and 4:30 p. m. the team should reassemble and have a full discussion of the written statements in order to seek consensus or note minority reports. Team members should then redraft their written statements as necessary. This process should result in each team member producing a rough-draft, written statement relating to the three points in "2" above.
4. At about 4:30 p. m., each team member should give his/her written statement to the team leader, so the individual statements might be reviewed preparatory to the exit interview.

Exit interview of onsite evaluation team with project staff. Some evaluators seem to prefer to collect their data and leave the premises without revealing the slightest hint of how they view the project. Such a procedure not only extends

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[17] This assumes members may have had differential responsibility for collecting data on different aspects of the project. However, the same general procedure could be used in the absence of differentiated assignments by having each team member respond in relation to the project as a whole.

(and often heightens) the anxiety of project staff unnecessarily, but it can also be viewed as less than courageous. It is professional, if not easy, to share face-to-face the team's perceptions of project weaknesses in need of amelioration, rather than sending later missives from afar when the project staff are unable to respond or query the rationale or data on which those perceptions are based. In short, an exit interview should be an integral part of every onsite evaluation and should include the following activities.

1. The team leader should present an oral report of the findings of the team. It should be impressed upon the project staff that the onsite evaluation team is appreciative of the cooperation and facilitation (assuming such was provided) of its work. It should also be noted that statements made by the team leader reflect team consensus, unless minority reports are noted. It should also be pointed out that the team's reactions are based on impressions gained in only two days and therefore may be over-simplified and lacking in all details. Further, the possibility of some errors in team perceptions exists. The final written report will note this and include all comments to be made during the exit interview. The team reserves the right, however, to modify points in the oral report if further reflection and consideration of the data make such modifications necessary.
2. Discussions, questions and answers, and other attempts at CLARIFICATION should be dealt with as appropriate.
3. The project staff should be informed that they will receive a draft of the written report and will be asked to review it for inaccuracies or inappropriate conclusions. They should be informed that their input and suggested modifications will receive careful consideration, although the evaluation team reserves the right to determine

the final content of the report. Extensive rebuttals during the exit interview may be avoided by pointing out the opportunity to have such reactions put in writing and attached to the onsite report as an addendum or submitted separately, depending on the preference of the funding agency.

4. It may be useful to have the project director and onsite team members sign a sheet which certifies that the evaluation was completed on the specified date(s). This does not necessarily signal that the project director agrees with the summary provided in the exit interview but merely certifies that it has taken place. A sample of a form which might be used for that purpose appears as Exhibit M in Appendix 8.

Onsite evaluation team reimbursement. After the exit interview, the team leader should distribute the reimbursement forms to be filled out and sent to the designated individual responsible for payment of fees and travel expenses.

6. REPORTING THE RESULTS OF ONSITE EVALUATION VISITS

One of the most challenging tasks of the onsite evaluation team leader is to produce a written report that reflects both the diversity of individual team members' perspectives and the overall team concensus about the project or program. Similarily, it is challenging to combine the reports of separate onsite evaluations into a cohesive and coherent commentary on the "umbrella" program which contained the projects visited. Both of these tasks are made easier if standardized procedures and criteria were used by individual team members and by each onsite evaluation team. Here the wisdom of spending time to standardize evaluation instruments and deal with scaling problems becomes apparent, since information from individual evaluators or from different onsite evaluation teams can be collapsed to yield summary data about a particular project or about a larger program.

Additional considerations about the preparation and use of final reports are discussed briefly below.

Nature of Written Onsite Evaluation Reports

The written onsite evaluation report should be clear and concise and should contain a summary of the team's judgment of the project/program on each criterion or in relation to each evaluative question. The report should also contain a clear summary of the team's perceptions of the project's strengths and weaknesses, along with recommendations for modification.

The report should be intelligible, interpretable, and free of esoteric jargon and educationese (i.e., it should be unlike this sentence!). All summary rating forms should be appended as part of the report.

The format of the onsite evaluation report should be specified in advance and (as described earlier) models provided wherever possible for team leaders to follow in preparing their written drafts. Sample formats for a final onsite evaluation report are shown as Exhibit J in Appendix 7 (a sample cover sheet), Exhibit M in Appendix 8 (a sample outline of a report format), and Exhibit K in Appendix 7 (a more detailed elaboration of the contents of each section of the final report). In addition, an alternate form for use as a report cover, providing for signatures of onsite team leader and project director appears as Exhibit N in Appendix 8.

Distribution of Onsite Evaluation Reports

Prior to formalizing an onsite evaluation report, the written draft should be sent to all onsite team members and to the project director (and as designated, the project staff) for review and comments. It is the responsibility of the onsite leader to incorporate those comments into the final document, using minority reports and rebuttals, if appropriate, as discussed in the previous section.

Once the onsite evaluation report is finalized, copies should be sent to the project director, all team members, and to the funding agency. Any further release or distribution of that report must normally be approved by the funding agency, unless such release is granted *a priori* in the contract or agreement authorizing the onsite evaluation.

Use of Onsite Evaluation Reports

As was mentioned in the Introduction to this manual, the primary purpose of onsite evaluation is to assist in the improvement of educational projects and programs. If that purpose is to be served, it will be important that the funding agency read the report[18] and seek any necessary clarification from the team leader. The funding agency should also discuss, as appropriate, the report with the project director.

The project or program receiving the onsite visit should obviously address itself to recommendations resulting from the report.

Finally, if the onsite evaluation is formative in nature and the project is judged to be unsuccessful or questionable to date, the funding agency may request a subsequent onsite evaluation team visit for summative evaluation purposes.

7. EVALUATION OF ONSITE EVALUATIONS

It is important to funding agencies to know who they can rely upon to perform well as onsite team leaders and members. Officials in the sponsoring agencies are often in a good position to judge the competence and professional conduct of team leaders. This is often not the case for team members, however, for it may be difficult for a funding agency to determine just what each team member contributed to a particular onsite evaluation. Insightful funding agencies, therefore, will often ask the team leader to evaluate the contribution of each member of the onsite evaluation team. A sample evaluation form for this purpose appears in Appendix 9. These ratings should be forwarded to the funding agency and should prove useful in providing for the selection of subsequent onsite evaluation team members and the discontinuance of the services of onsite evaluation team members judged not helpful for this type of evaluation activity. This information may thus be banked for use in selecting future team members.

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[18] If that comment sounds cynical, it may be forgiven if the reader knew that a colleague of the author has on two occasions inserted five-dollar bills between the pages midway in final reports submitted to a Federal agency and found them still there (in the obviously unread reports) when visiting the funding agency almost two years later.

An annual review of the onsite evaluation system used by a funding agency should be conducted by that agency, with a review panel comprising appropriate agency personnel, outside evaluators, and members of any appropriate advisory or policy councils. The purposes of this review would be to:

1. Determine if evaluation procedures, both internal and external, are adequate for all projects funded under the program authorization;
2. Determine if the instrument used will provide the proper criteria to make valid decisions in regard to each project;
3. Establish procedures for compiling the results of all evaluation, both internal and external, in a useable form; and
4. Develop procedures to use the results of such evaluation for funding or continued funding.

It is frequently desirable to include, as part of the evaluation of the onsite evaluation system, the perceptions of project directors, who received onsite visits during the period in question. For example, in the evaluation of the Utah Title IV-C onsite evaluation system, Title IV - C project directors were asked to rate the onsite evaluations on several dimensions. The results were very helpful in refining that onsite evaluation system.[19]

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[19] Readers interested in perusing the results of this evaluation as an example of what use such feedback might serve are referred to Wasatch Institute for Research and Evaluation, Evaluation of Operation and Effects of Title IV Expenditures in Utah: Final Report. Volume 1. 1982, p. 188.

8. STIPEND AND EXPENSE CONSIDERATIONS

In view of the responsibilities and obligations connected with the role of the onsite visit outlined earlier (including the time commitment of the team leader and the team members), an appropriate reimbursement schedule should be established. Honorarium, plus expenses and per diem should be set for the team leader and for each team member. Team leaders should obviously be remunerated at a higher rate because of their additional work preparing for the onsite visit and drafting the final report.

It would be foolish to try to suggest specific fees for onsite evaluations. It seems appropriate, however, to remind funding agencies that paying for preparation and writing time (in addition to onsite time) generally results in team leaders and members taking the tasks of preparation and writing seriously. Also, as in most other walks of life, paying low stipends in hopes of obtaining "bargain basement evaluations" is usually false economy. In evaluation, as elsewhere, one normally gets what one pays for. Evaluation can be, after all, a cost saving factor. The savings in wasted materials and resources (people, time, money) which may derive from better judgments concerning the continuation (or discontinuation) of some projects and programs is incalculable and may more than offset the cost of onsite evaluations.

APPENDIX 1

Utah Title IV - C External Onsite Evaluation Form For Adoptable Projects

Project Name ____________________

District ____________________ Project Director ____________________

TITLE IV - PART C: ADOPTABLE PROJECTS
EXTERNAL ONSITE EVALUATION
SUMMARY RATING SHEET

Answers to each of the questions listed below will provide information about how successful a project has been in accomplishing the purposes of Title IV - C funding. A project which is completely successful would receive the maximum number of points associated with each question. Note that many questions have both quantitative and qualitative dimensions which should be reflected in the rating. For example, a project which implements each of the projected activities, but does so in a slipshod manner which will not likely lead to improved educational practice, should not be rated highly on question #1. For each question, assign the appropriate number of points and summarize briefly on this form, your rationale. The table below provides approximate guidelines for assigning points associated with various levels of performance.

Range of points associated with each level of compliance

QUESTIONS WORTH 60 POINTS	QUESTIONS WORTH 30 POINTS	QUESTIONS WORTH 10 POINTS	
54 - 60	27 - 30	9 - 10	Complete or near complete compliance in meeting the purposes of Title IV - Part C suggested by this question.
45 - 53	23 - 26	8	Minor problems in this area, but not serious enough to jeopardize the success of the project in accomplishing the purposes of Title IV - Part C suggested by this question.
30 - 44	15 - 22	5 - 7	Moderate problems in this area which may be serious enough to jeopardize the success of the project in accomplishing the purposes of Title IV - Part C suggested by this question.
15 - 29	8 - 14	3 - 4	Major problems in this area which are definitely serious enough to jeopardize the success of the project in accomplishing the purposes of Title IV - Part C suggested by this question.
0 - 14	0 - 7	0 - 2	Little or no compliance in this area. Project is not accomplishing the purposes of Title IV - Part C suggested by this question.

____
Date of Visit

Possible Points	Rating	
		1. Did project activities conform with approved plan or approved modifications? Were activities implemented in a quality-like manner that should lead to improved educational practice? If an adoptable project, were the key components of the original validated project implemented?
60		

Possible Points	Rating	
10		2. Was the project responding to a priority area of need or weakness within the LEA?
30		3. Did the project evaluation provide valid information about project effectiveness or impact? Did evaluation yield information which can assist district in making decisions about project continuation?
30		4. If the project was effective, is there evidence that the LEA plans to continue the project after Title IV - C funding is completed?
10		5. Were appropriate and sufficient efforts made to include private schools?

Possible Points	Rating	
10		6. Are relevant LEA personnel sufficiently aware of and do they understand the purpose of Title IV - C; and are they aware of the expectations and requirements associated with accepting a Title IV - C grant?
10		7. In selecting an adoptable program to meet their identified need, did the LEA sufficiently consider other options besides the one ultimately selected?
10		8. Did the project have sufficient contact with the original developer or with certified second generation trainers?
30		9. Do project expenditures and financial accounting procedures conform with state and federal requirements?

TOTAL POINTS POSSIBLE	TOTAL RATING	%
____	____	____

Signatures: Project Director ____________________

Chairperson of Onsite Team ____________________

Team Member ____________________

Team Member ____________________

NOTE: This is not to be shared with project personnel

Listed below are a number of factors that may have contributed to the successes or problems encountered by the project. In addition to the factors listed, you have probably identified other factors during your visit. First, list any additional factor you have identified in the blanks listed "other". Then go through and rate each item as to whether and to what degree it contributed to the project's successes, strengths, weaknesses, or problems.

	A Major Contributor to Problems				Not A Factor		A Major Contributor to Success				Don't Know
1. Technical expertise/qualifications of LEA staff	1	2	3	4	5	6	7	8	9	10	___
2. Expertise of outside consultants or technical assistants	1	2	3	4	5	6	7	8	9	10	___
3. Enthusiasm and commitment of project staff	1	2	3	4	5	6	7	8	9	10	___
4. Contact with and support from USOE	1	2	3	4	5	6	7	8	9	10	___
5. Human and financial resources	1	2	3	4	5	6	7	8	9	10	___
6. Commitment and support of LEA administration	1	2	3	4	5	6	7	8	9	10	___
7. Appropriate conceptualization	1	2	3	4	5	6	7	8	9	10	___
8. Political pressure/involvement	1	2	3	4	5	6	7	8	9	10	___
9. Relevance to district needs	1	2	3	4	5	6	7	8	9	10	___
Other (specify) ______________________________	1	2	3	4	5	6	7	8	9	10	___
Other (specify) ______________________________	1	2	3	4	5	6	7	8	9	10	___
Other (specify) ______________________________	1	2	3	4	5	6	7	8	9	10	___

TITLE IV-C PROJECT BUDGET WORKSHEET

Budget Category (a)	Information from Ledger				Back-up Documentation				Was expenditure consistent w/ approved budget (j)	Comments (k)
					P.O. or Requisition		Invoice or Warrant			
	Date (b)	Payee (c)	Description of Expenditure (d)	Amount (e)	Amount (f)	Approval (g)	Actual Cost (h)	Goods Received (i)		
1.										
2.										
3.										
4.										
5.										
6.										
7.										
8.										
9.										
10.										
11.										
12.										
13.										
14.										
15.										

Instructions:

This worksheet is to be used in gathering information regarding question #8 on the Summary Rating Sheet. . . "Do project expenditures and financial accounting procedures conform with state and federal requirements?" This worksheet should be completed for a random sample of at least 8 entries from the project ledger plus any entries which seem questionable or unusually large. Additional information about how to complete the worksheet for each selected entry is given below.

(a) List the main budget categories in which the selected expenditure falls (e.g., Travel, supplies, consulting, etc.). The "random" selection should include an entry from as many of the main budget categories as possible except for "personnel", "fringe benefits", and "indirect costs".

(b), (c), (d), & (e) This information is to be taken from the project ledger (i.e., official LEA listing of expenditures for that project, which may be handwritten, computerized, or typed as long as it is an official listing or a part of the official accounting records). Enter the date of the expenditure (b), the payee ("c"--the person or vendor to whom project funds were transmitted), what the money was spent for ("d"--e.g., typewriter ribbons, travel to project meeting in SLC, etc.) and the amount of the expenditure listed in the ledger (e)

(f) & (g) For each expenditure, the LEA should have a Purchase Order (P.O.) or Requisition. List the amount for which the P.O. or requisition was written (f) and whether the P.O. or requisition was approved by an appropriate person ("g"--e.g., Project Director, Business Administrator, etc.).

(h) & (i) For each expenditure in the sample, indicate the actual cost of the goods/services ("h"--it is not unusual for the actual cost to vary slightly from the cost noted on the P.O.) and whether the goods/services were actually received ("i"--e.g., in some instances you may want to see the item, in others a signed invoice acknowledging receipt).

(j) Make a judgment as to whether the expenditure was consistent with the originally proposed or modified budget.

(h) In this section note any comments you have about the degree to which the project expenditures conform with state and federal requirements as indicated by the information about that particular item. For example, any "no" answers in (g) or (j); discrepancies between (c) and (f) or (e) and (h); items which do not have appropriate back-up documentation; or any other irregularities or exceptions with federal and/or state guidelines should be noted and explained. Use the back of the page if necessary.

COMPARISON OF BUDGET WITH
FINANCIAL RECORD*

a Category Title	b Budgeted For Line Items	c Actual Expenditure For Line Items	d Percent Discrepancy	e Written Approval (if discrepancy is 10% or more)

*Ensure that the record is part of the official accounting records.

APPENDIX 2

Colorado State Department of Education
Onsite Evaluation Form For Title III ESEA Projects

COLORADO STATE DEPARTMENT OF EDUCATION
ON-SITE EVALUATION FORM FOR TITLE III ESEA PROJECTS

Local Education Agency: ______________________________

PROJECT TITLE: ______________________________

Evaluator: ______________ Visitation date(s) ______________

Please return completed evaluation by: ______ to ______________
____

SECTION I - Directions: Check the position best representing your judgment of how each statement describes the project. Comment freely in the space beneath the statement, especially when clarification of check choice is needed.

	High				Low
	1	2	3	4	5
1 a. Current direction of the project is consistent with stated objectives.					
1 b. Teachers, administrators, and pupils involved with the project are aware of the project objectives.					
1 c. Existing LEA policies and practices are conducive to accomplishment of the objectives.					
2 a. Project activities are appropriate for meeting stated objectives.					
2 b. It appears, at present, that reasonable progress is being made toward meeting objectives of the project.					
2 c. Dissemination of information about the program within the project area is appropriate and adequate. (Consider central administration, Board of Education, professional staff, the lay public and pupils.)					
2 d. Adequate safeguards prevent possible negative effects of the project on children. (consider overexposure to visitors, subjection to questionable experimental activities, disruption of other vital learning activity, etc.)					
3 a. Physical resources are appropriate and adequate for achieving project objectives.					

EVALUATION FORM FOR TITLE III ESEA PROJECTS

	High				Low
	1	2	3	4	5
3 b. Human resources are numerically adequate for the achievement of objectives. (Consider both regular staff and possible outside consultants.)					
3 c. Project personnel have qualities essential to project success. (Consider open-mindedness, creativity, specialized knowledge, administrative ability, communication skills, etc.)					
4 a. The budget is appropriate for current operation of the project.					
4 b. Good administrative practice exists in:					
Leadership					
Supervision					
Fiscal Management					
5 a. Provisions exist for integrating successful project activities into the regular school programs.					
5 b. The Board of Education and administrative staff are committed to supporting successful project activities after federal funding ends.					
6 a. Current project evaluation practices and measuring instruments are appropriate for measuring the achievement of objectives.					
7 a. Provisions for follow-up study of project pupils are appropriate and adequate.					

SECTION II - Directions: Following are guidelines for the narrative portion of the evaluation report. Please respond fully to each item using additional sheets of paper as needed. Be as objective as possible and cite specific areas where good and poor practices are taking place.

1. What are the strengths of this project?
2. What are weaknesses of this project?
3. What suggestions have you for improving the project? Suggestions should be based on weaknesses listed on No. 2 and/or strengths, No. 1.
4. Additional comments.

APPENDIX 3

Sample Recruitment Letter to Prospective Team Leaders

Utopia Department of Education
State Office Building, 201 E. Winchester
Everytown, Utopia 99999

Address of Prospective
Team Leader

Dear ________________:

IN RE: Onsite Evaluation of: (TITLE-DATE-LOCATION)

We would appreciate your assisting with our Title CIX onsite evaluation efforts this year. We would like you to lead an evaluation of the project(s) noted above and in the attached letter copy.

Team leaders will receive a stipend of $500 plus expenses for completion of each onsite visitation and the submission of a satisfactory evaluation report.

Please return the enclosed card indicating your response. If these dates are inconvenient for you, advise us at once so that we can reset them. If the project directors respond similarly, we will contact you and rearrange the schedules as soon as possible.

Sincerely yours,

Will Ketchum
State Coordinator, Title CIX
Special Programs Unit
392-2222

WK:ms

Enc. Letter to Project Director

APPENDIX 4

Sample Notification of Project Directors About Upcoming Evaluation Onsite Visits

EXHIBIT A

250 EAST 500 SOUTH STREET • SALT LAKE CITY, UTAH 84111 • TELEPHONE (801) 533-54

UTAH STATE OFFIC
OF EDUCATION

WALTER D. TALB
STATE SUPERINTENDENT OF PUBLIC INSTRUCTI

MEMORANDUM

TO: Title IV - Part C Project Directors for 1981-82

FROM: Utah State Title IV Advisory Council

DATE: April 6, 1982

SUBJECT: Upcoming Evaluation Onsite Visits

Each year the Federal Government allocates resources to the Utah State Office of Education to be used for Title IV - Part C projects. As some of you are already aware, the Title IV State Advisory Council is required every three years to submit to the Federal Government a summary evaluation of the operation and effects of Title IV - Part C expenditures in Utah. To assist in accomplishing this task, the State Advisory Council has approved a contract with The Wasatch Institute for Research and Evaluation, a Logan based consulting firm which specializes in educational research and evaluation, program planning, and project monitoring, to assume the primary responsibility for conducting this evaluation.

In conducting this evaluation, staff members of Wasatch Institute for Research and Evaluation will be contacting many of you to collect information. We think you will be pleased with the way the evaluation activities have been structured to reduce the burden on project staff members, while at the same time providing the necessary information for a comprehensive evaluation of the operation and effects of Title IV - Part C expenditures in Utah.

The remainder of this memo summarizes the major parts of the evaluation which will involve LEA participation; and summarizes again for you the various reports and records which are required of you in regard to Title IV - Part C projects.

Onsite evaluation visits. Onsite visits to Title IV - Part C projects from external evaluators will again be used as a major source of information about the operation and effects of Title IV - Part C. Not all projects will be visited during 1981-82; those projects to receive a site visit will be contacted no later than April 15, 1982.

Adult Education and Community Servic
Dissemination and Educational Developm
Telephone (801) 533 5061
Compensatory and Bilingual Educatio
(801) 533-6092
Special Education (801) 533-5982

During the onsite evaluation visits information will be collected regarding the following evaluation questions.

1. Did budget expenditures conform to the requirements of the grant?
2. Did project activities conform to the approved plan?
3. Is there evidence of project effectiveness or impact?
4. Was the project responding to identified needs?
5. Is there evidence the LEA will continue effective projects?
6. Did the project have sufficient contact with the original developer?[1]
7. Were key components of original validated project implemented?[1]
8. Were sufficient efforts made to include private schools?
9. Was the project innovative, or merely supplementary funding for existing LEA services?
10. Were LEA personnel aware of the expectations and requirements associated with grant acceptance?
11. How aware are LEA personnel of the validation/dissemination process at the beginning of the developmental process?
12. Are internal evaluation reports an accurate representation of project activities and impact?

Title IV - C projects selected to receive an onsite visit will be notified by the Wasatch Institute for Research and Evaluation. LEA project staff who are involved in these visits should plan on having the external evaluation team onsite for one full day. During this time, external evaluator(s) will want to meet with various project staff, observe the program in operation (if possible), examine records, and collect other data relevant to the questions listed above. The specific onsite evaluation activities will vary somewhat from project to project depending on the nature of the project but each project director will be contacted well in advance so he or she will have ample time to prepare.

Financial Accountability. During the external onsite evaluation visit, the external evaluator will want to see evidence that budget expenditures conform with the requirements of the grant. In other words, the evaluator will need to examine the LEA's financial records to varify that funds granted to the LEA were spent on project related activities in conformance with federal guidelines for expenditures. This part of the evalution is mandated by Federal law as a condition upon which Title IV - Part C funds are given.

---

[1] Information on these questions will only be gathered during onsite visits to adoptable projects.

To facilitate the financial monitoring aspect of the onsite visit, LEAs should begin now to make sure that their accounting procedures allow for a clear "audit trail" of Title IV - Part C funds. LEAs who have questions whether their current accounting system is satisfactory, should contact Bill Cowan as soon as possible to avoid any unnecessary complications during the onsite visit. The federal guidelines which govern Title IV - Part C monies are attached to this memo. A good rule of thumb is that any contemplated expenditure which deviates significantly from the approved project plan would be cleared beforehand in writing by the project officer from USOE.

We appreciate your patience in reading such a lengthy memo. We feel that it contains important information which is essential for Title IV - Part C project directors to know if Title IV - Part C is to be effective in Utah. Should you have further questions, please do not hesitate to contact Bill Cowan at the USOE or one of the members of the State Advisory Council.

EXHIBIT B

UTAH STATE OFFICE
OF EDUCATION

WALTER D. TALBOT
STATE SUPERINTENDENT OF PUBLIC INSTRUCTION

MEMORANDUM

TO: Title IV - Part C Project Directors for 1980-1981

FROM: Bill Cowan

DATE: February 10, 1981

SUBJECT: Project Operation and Evaluation

The 1980-1981 school year is approximately one-half over and those of you who are responsible for Title IV - Part C projects are hopefully well along your way to accomplishing the goals you established last Fall. As we have reviewed the past functioning of Title IV - Part C projects in Utah, there are a number of areas we want to bring to your attention. Some of you are already aware of much of this information as a result of past involvement with Title IV - Part C, or from orientation meetings held earlier in the year. We thought it worthwhile, however, to make doubly sure that all Project Directors were well informed about the topics discussed in this memo, since the information bears directly on the success of Part C projects. We encourage you to read the memo carefully and to contact the designated people should you have further questions.

Technical Assistance to Projects

As you know, a major purpose of Title IV - Part C is to provide initial funding for LEAs to develop and implement programs to meet previously identified critical needs within their system. As a part of Title IV - Part C projects, it is intended that LEAs will carefully evaluate the effectiveness of each program so that successful programs can be continued with LEA funds after Title IV funding has been completed.

Adult Education and Community Services
Dissemination and Educational Development
Telephone (801) 533 5061
Compensatory and Bilingual Education
(801) 533 6092
Special Education (801) 533 5982

During the past several years, the Title IV State Advisory Council has recognized that some LEAs, who are otherwise qualified to conduct a project meeting the purpose and priorities of Title IV - C, may not be able to readily identify people with specific technical expertise in one or two areas. Consequently, a system has been established whereby LEAs can receive additional technical assistance in areas where their own staff may lack experience and/or expertise. Additional technical assistance is usually most helpful to LEAs in assisting with the design and conduct of internal evaluations of project effectiveness or assisting in writing a project final report or continuation proposal. However, technical assistance has also proved invaluable for some projects in tasks such as developing or revising curriculum, identifying additional program resources, and monitoring project progress.

In response to input from past project directors, a system has been established whereby LEAs can obtain additional technical assistance to properly implement and/or evaluate Title IV - Part C projects (either developmental or adoptable). A pool of people has been identified from around the state (mostly university personnel) who have experience and expertise in the requisite areas. To assist LEAs in selecting a person who would be most appropriate for their project, Bill Cowan's office maintains for each person in the pool a brief resume showing previous experiences of a similar nature. If an LEA would like to obtain additional technical assistance for their project, they should contact Bill Cowan's office. After reviewing the available people and perhaps checking with LEAs for whom these people have previously worked, an application can be made by the LEA to Bill Cowan's office for project-related technical assistance services. Typically, this application would make available to the LEA an additional amount of money (usually no more than 5 - 10% of the project budget) which could be used to purchase consultant technical assistance services for the project. Any of this money not used for technical assistance would revert back to the state at the end of the project.

Evaluation of the Title IV - Part C Program

Each year the Federal Government allocates approximately $650,000 to the Utah State Office of Education to be used for Title IV - Part C projects. As some of you are already aware, the Title IV State Advisory Council is required every three years to submit to the Federal Government a summary evaluation of the operation and effects of Title IV - Part C expenditures in Utah. To assist in accomplishing this task, the State Advisory Council has approved a contract with Wasatch Institute for Research and Evaluation (a Logan-based consulting firm which specializes in educational research and evaluation, program planning, and project monitoring) to assume the primary responsibility for conducting this evaluation.

In conducting this evaluation, staff members of Wasatch Institute for Research and Evaluation (WIRE) will be contacting many of you to collect information. We think you will be pleased with the way the evaluation activities have been structured to reduce the burden on project staff members, while at the same time providing the necessary information for a comprehensive evaluation of the operation and effects of Title IV - Part C expenditures in Utah.

The remainder of this memo summarizes the major parts of the evaluation which will involve LEA participation; and summarizes again for you the various reports and records which are required of you in regard to Title IV - Part C projects.

Onsite evaluation visits. Onsite visits to Title IV - Part C projects from external evaluators will again be used as a major source of information about the operation and effects of Title IV - Part C. However, in order to reduce the amount of time required from LEA personnel, not all projects will be visited. Only one-fourth of the adoptable projects will receive an onsite evaluation visit each year. These onsite evaluation visits will occur shortly after the end of the contract completion date. Three-year developmental projects which are funded for less than $5,000/year will only be visited once, at the conclusion of the final year of the project. Developmental projects which are funded for more than $5,000/year will be visited each year of the project. During the first two years, the onsite visit will occur in March so that project staff and the State Advisory Council can receive feedback in time to effect continuation proposals and decisions. The final onsite visit for these larger developmental projects will occur shortly after the end of the contract completion date for the third year.

During the external onsite evaluation visits, information will be collected regarding a number of evaluation questions. The summary rating forms which will be used by the external onsite evaluation teams as they visit continuing developmental projects is attached. Rating forms for adoptable project will be similar and will be sent to the projects to be visited in the near future.

LEA project staff who are involved in an onsite evaluation visit should plan on having the external evaluation team onsite for one full day. During this time, external evaluator(s) will want to meet with various project staff, observe the program in operation (if possible), examine records, and collect other data relevant to the questions listed above. The specific onsite evaluation activities will vary somewhat from project to project depending on the nature of the project but each project director will be contacted well in advance so he or she will have ample time to prepare.

Financial Accountability. During the external onsite evaluation visit, the external evaluator will want to see evidence that budget expenditures conform with the requirements of the grant. In other words, the evaluator will need to examine the LEA's financial records to verify that funds granted to the LEA were spent on project-related activities in conformance with federal guidelines for expenditures. This part of the evaluation is mandated by Federal law as a condition upon which Title IV - Part C funds are given.

To facilitate the financial monitoring aspect of the onsite visit, LEAs should make sure that their accounting procedures allow for a clear "audit trail" of Title IV - Part funds. LEAs who have questions whether their current accounting system is satisfactory, should contact Bill Cowan as soon as possible to avoid any unnecessary complications during the onsite visit. The Federal guidelines which govern Title IV - Part C monies are attached to this memo. A good rule of thumb is that any contemplated expenditure which deviates significantly from the approved project plan should be cleared beforehand in writing by the Project Officer from USOE.

Annual Project Report. Each Title IV - Part C project is required to submit to the Utah State Office of Education an annual report summarizing the accomplishments of the project. This report is due within 30 days of the project completion date for that year (for most projects, the due date would be July 31st). Although the LEA may receive technical assistance in completing this report, the final responsibility for the contents and the timely delivery of the report rests squarely on the LEA as the grant recipient.

This report should contain sufficient detail to demonstrate how successfully the LEA has conducted the activities outlined in the proposal for that year, summarize evaluation data relevant to the effectiveness of the project, and, if the report covers the final year of the project, outline briefly LEA plans for continuing the project. Although the report need not be lengthy, at least 15-20 pages will be necessary in most cases for a complete report. Examples of the type of report which is anticipated were provided to each project director at the Project Directors Meeting in Provo last September.

Additional Evaluation Activities. In addition to their role of being the "ones being evaluated", it is important that project directors and other LEA staff members have an opportunity to be the "evaluators" of Title IV - Part C. As a part of the comprehensive three-year evaluation of the operation and effects of Title IV - Part C expenditures in Utah, information will be solicited from LEA staff members concerning questions such as:

1. How meaningful and helpful is LEA contact with external evaluators, consultants for technical assistance, and State Office of Education personnel?

2. How effectively is the dissemination process for information related to adoptable programs functioning?

3. Is sufficient technical assistance, information, and opportunity provided to all LEAs in Utah for equitable participation in Title IV - Part C programs should they so chose?

4. How effectively are private schools being involved in Title IV - Part C programs?

Much of the information related to these questions will be collected during the external onsite evaluation visits referred to previously. However, some additional information will need to be collected via questionnaires, telephone and person-to-person interviews, and site visits. Most of the evaluation information described in this section is "formative" evaluation data which will feed directly back into the system to improve the functioning of Title IV - Part C programs within Utah on a year-to-year basis.

We appreciate your patience in reading such a lengthy memo. We feel that it contains important information which is essential for Title IV - Part C project directors to know if Title IV - Part C is to be effective in Utah. Should you have further question, please do not hesitate to contact Bill Cowan or Ken Lindsay at the USOE or one of the members of the State Advisory Council.

APPENDIX 5

Sample Letters From a Funding Agency Notifying Project Directors of the Specifics of an Upcoming Site Visit

EXHIBIT C

CDE
Colorado Department of Education
State Office Building, 201 E. Colfax
Denver, Colorado 80203
Telephone (303) 892-2211

Donald D. Woodington, Commissioner

Dear Project Director:

The dates of ______________________________ Have been set for the annual onsite evaluation of your Title CIX project. Activities on the first date will consist of a morning meeting with the visitation team with the balance of the day spent in data collection; second day activities will continue with project visitation and a final meeting between the team and project staff.

Procedures will include your sending project materials (current proposal, schedule of activities, dissemination materials and other pertinent data available on your project) to each team member, completion of a pre-visitation information form (a format for this will be sent to you later), and interviews of project personnel -- including evaluators and school administrators -- with the visitation team. We will contact you later regarding the details of the visitation along with a list of the team members.

If you have any questions about these procedures, or if the date scheduled is not satisfactory, please contact our office within the week.

Sincerely yours,

Roger L. Duncan
State Coordinator, Title CIX
Development and Demonstration Services
892-2238

EXHIBIT D

CDE
Colorado Department of Education
State Office Building, 201 E. Colfax
Denver, Colorado 80302
Telephone (303) 892-2211

Donald D. Woodington, Commissioner

Dear Project Director:

This letter confirms our arrangements made for the onsite evaluation of your project. The evaluation will take place on ___________ . The team will meet alone at your site headquarters at 8 a.m. for thirty minutes. At 8:30 a.m. they will wish to meet with you and the project staff for a briefing for a maximum of sixty minutes. The team will have thoroughly prepared for the onsite visit so there will be no need for a lengthy briefing or extended general comments concerning the project. Rather, the purpose is to seek clarification regarding misperceptions and learn of components which are particularly idiosyncratic to your project.

The remainder of the day will be spent in data collection whereby the team members will interview and talk with selected people who are directly or perhaps indirectly associated with the project. Later on the second day we will share with you and your staff our team's impressions concerning your project.

We are enclosing a copy of the Pre-visitation Information Form. Please complete and return this form to this office two weeks prior to the visit. We will supply copies to all members of the team.

The team is composed of: (Names: Leader, followed by members)

Sincerely yours,

Roger Duncan
State Coordinator
Title CIX
Special Programs Unit
(892-2223)

Enc. Pre-visitation Form

EXHIBIT E

WASATCH INSTITUTE
FOR RESEARCH AND EVALUATION

TO: Title IV - Part C Project Directors for Developmental Projects

FROM: Glenn Latham

SUBJECT: Scheduling for Onsite Evaluation Visits

DATE: April 6, 1982

As you probably know, a sample of Title IV - Part C developmental projects are scheduled each year to receive an external onsite evaluation. Your project, ______________________________, funded during the 1981-82 school year, is one of the projects which has been selected for an onsite evaluation visit this Spring. Enclosed in this mailing is a copy of the Summary Rating Sheet which will be completed by the team during the external onsite evaluation, along with a memorandum from the State Title IV Advisory Council providing additional information about Title IV evaluation activities and expectations.

As we discussed on the phone, the visit for your project is scheduled for ______________________. The evaluation team chairperson for your project is __________________________. He will be contacting you soon to schedule the date of the onsite visit. Prior to the actual visit, ____________________ will be contacting you to answer any questions you have and provide additional detail concerning the visit.

Please do not feel that you need to entertain the evaluators. It is our hope that the site visit can take place with as little inconvenience and disruption for you and your staff as possible. If you have any questions, please feel free to contact our office.

175 QUARTER CIRCLE DR., LOGAN RFD, UTAH 84321: TEL. (801) 752-1755

APPENDIX 6

Sample Pre-visitation Information Form

Title III ESEA Project Pre-visitation Information

This evaluation form should be completed by the project director in cooperation with others directly associated with the project immediately preceding the annual site visitation. A copy of this completed report should be made available to each member of the evaluation team prior to the onsite visitation. (Xerox or other mechanically reproduced copies will suffice.)

The purposes of this report are to (a) provide a basis for systematic appraisal of the project by local school personnel; (b) to help prepare project personnel for the types of questions that might be asked by members of the visitation team; and (c) provide information to members of the visitation team.

Sponsoring School District ______________________________

Project Title ______________________________

Project Director ______________________________

Please Respond Briefly and Candidly To The Following Items:

1. A. Which of the specific objectives for the project are being most satisfactorily attained? (Abbreviated statement of objectives).

B. Which specific objectives are not being satisfactorily attained?

What factors have prevented their attainment?

C. To What extent are the following aware of the stated objectives for the project?

1. Teachers ____________
2. Administrators ________
3. Pupils ____________
4. Project Personnel ______
5. Board of Education ______

D. What district policies and practices have been a hindrance to the project? (e.g., required district-wide grading or reporting practices which have a negative effect on attempts to individualize instruction.)

2 A. List project activities which have been most satisfactorily carried out.

B. List intended project activities which have been least satisfactorily carried out.

What factors have prevented their satisfactory implementation?

C. List local dissemination techniques as they pertain to:

1. The Board of Education

2. Administrators

3. The professional staff

4. The lay public

5. Pupils

D. Has any aspect of the project had a negative effect on pupils? ______ If yes, describe the aspect and the effect.

3. A. Indicate the limitations, if any, that physical resources have placed on the project.

B. Indicate ways available physical resources have encouraged expansion or refinement of the project.

C. To what extent have human resources been adequate for the project?

D. To what extent have human resources been inadequate for the project?

4. A. What budgetary limitations, if any, have you experienced which prevented implementation of project activities?

5. A. List procedures and provisions for integration of successful project activities into the regular school program.

B. List evidence that various administrative units are committed to the support of successful project activities after federal funding discontinues.

6. A. List evaluative techniques and measuring instruments being used to measure achievement of project objectives. (Attach samples, if appropriate).

7. A. Briefly, what changes are under consideration for the continuation proposal, provided the project is not in its final year of intended oepration?

APPENDIX 7

Materials For Use in Advance Preparation and Training of Team Members

EXHIBIT F

PURPOSES OF TITLE IV - PART C

Approximately $650,000 is devoted each year to fund efforts by Utah LEAs who have identified serious gaps or weaknesses in their current educational system to develop new programs or adopt existing programs from elsewhere to respond to these areas of need. Fifteen (15) percent of these funds must be used in support of projects designed to meet the needs of students requiring extraordinary educational consideration. Funding for Part C projects is on a competitive basis where each interested LEA submits a proposal in competition with other LEAs of similar size and resources. Monies for Part C are divided into two areas: adoptable projects and developmental projects.

1. Adoptable projects are funded when an LEA identifies a critical educational need in the system and is also able to identify an existing validated program which has a high probability of meeting this need. Information about the availability of such validated programs is disseminated by the U.S. Office of Education and the Utah State Office of Education through various conferences, booklets, newsletters and individual contacts. Those programs available for adoption have already demonstrated their effectiveness according to rigorous criteria set up by either the state or the federal government, and staff from these programs have demonstrated a willingness to assist other LEAs in adopting their program.

    Adoptable projects are funded, on a competitive basis, every year and are typically funded for a one-year period, although some adoptables have received two years of funding. Funding of an adoptable project is based on the premises that: (1) the LEA possesses or can obtain the expertise necessary to implement and test the effectiveness of such a program; and, (2) the LEA is committed to continue the program (if it proves effective) when Title IV funding is completed.

2. Developmental projects are funded when the LEA has identified a serious educational need within their system but is unable to locate other validated projects which are appropriate for meeting this need. Proposals by LEAs to conduct a developmental project must demonstrate that the LEA has adequate resources and expertise to develop such a program and evaluate the effectiveness of the program being developed. Funds for developmental projects are provided with the expectation that LEAs will continue, with their own resources, those programs which prove to be effective during the developmental period.

    Developmental projects can be funded up to five years but are typically funded for three years of developmental activities with a fourth and possibly fifth year of dissemination activities if the project proves effective. New developmental projects are only funded every three years. The most recent three-year cycle began in July of 1979. However, all new projects are subject to continuation approval on a yearly basis.

EXHIBIT G

PROCEDURES FOR CONDUCTING EXTERNAL ONSITE EVALUATION VISITS FOR TITLE IV - PART C PROJECTS

(April, 1982)

1. Before April 12, contact the project director to arrange a convenient time to conduct the onsite visit, and notify WIRE (call Barbara Worthen at 752-1755) of the schedule for the visit. All visits should be conducted prior to May 7.

2. Coordinate with and brief State Advisory Council member if applicable.

3. Carefully review all attached materials.

4. Contact project director by phone to discuss further the purpose of the onsite visit and to tentatively schedule the people you will need to interview during the onsite visit (include discussions of selection criteria if appropriate). Although our budget cannot bear the extra expense, it would be ideal if you happen to be in the area on other business, to stop by and personally become acquainted with the project director prior to the actual onsite visit.

5. Conduct onsite evaluation visit.

   a) introductory interview with project director (review purpose of visit; discuss summary rating sheet; and, review (and adjust as necessary) schedule for the day)

   b) collect data regarding each evaluative question

      - interview, as appropriate, project director, project staff, LEA administrators, parents and students

      - observe project operation if feasible and appropriate

      - examine products, developed materials, and written reports

      - examine financial records

   c) check perceptions with other team members

   d) complete summary rating sheet and outline final report

   e) conduct exit interview with project director and project staff (be sure to obtain signature of project director on summary rating sheet during this interview)

6. Write final report and forward to WIRE for review (within 1 week of visit and no later than May 14, 1982.

7. Send copy of report to project director for review.

8. Revise report as necessary and submit final draft to WIRE by May 28, 1982.

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from OMB Circular 74-4

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EXHIBIT H

STANDARDS FOR SELECTED ITEMS OF COST

A. *Purpose and applicability*

1. *Objective.* This attachment provides standards for determining the allowability of selected items of cost.

2. *Application.* These standards will apply irrespective of whether a particular item of cost is treated as direct or indirect cost. Failure to mention a particular item of cost in the standards is not intended to imply that it is either allowable or unallowable, rather determination of allowability in each case should be based on the treatment of standards provided for similar or related items of cost. The allowability of the selected items of cost is subject to the general policies and principles stated in Attachment A of this circular.

B. *Allowable costs.*

1. *Accounting.* The cost of establishing and maintaining accounting and other information systems required for the management of grant programs is allowable. This includes cost incurred by central service agencies for these purposes. The cost of maintaining central accounting records required for overall State or local government purposes, such as appropriation and fund accounts by the Treasurer, Comptroller, or similar officials, is considered to be a general expense of government and is not allowable.

2. *Advertising.* Advertising media includes newspapers, magazines, radio and television programs, direct mail, trade papers, and the like. The advertising costs allowable are those which are solely for:

a. Recruitment of personnel required for the grant program.

b. Solicitation of bids for the procurement of goods and services required.

c. Disposal of scrap or surplus materials acquired in the performance of the grant agreement.

d. Other purposes specifically provided for in the grant agreement.

3. *Advisory councils.* Costs incurred by State advisory councils or committees established pursuant to Federal requirements to carry out grant programs are allowable. The cost of like organizations is allowable when provided for in the grant agreement.

4. *Audit service.* The cost of audits necessary for the administration and management of functions related to grant programs is allowable.

5. *Bonding.* Costs of premiums on bonds covering employees who handle grantee agency funds are allowable.

6. *Budgeting.* Costs incurred for the development, preparation, presentation, and execution of budgets are allowable. Costs for services of a central budget office are generally not allowable since these are costs of general government. However, where employees of the central budget office actively participate in the grantee agency's budget process, the cost of identifiable services is allowable.

7. *Building lease management.* The administrative cost for lease management which includes review of lease proposals, maintenance of a list of available property for lease, and related activities is allowable.

8. *Central stores.* The cost of maintaining and operating a central stores organization for supplies, equipment, and materials used either directly or indirectly for grant programs is allowable.

9. *Communications.* Communication costs incurred for telephone calls or service, telegraph, teletype service, wide area telephone service (WATS), centrex, telpak (tie lines), postage, messenger service and similar expenses are allowable.

10. *Compensation for personal services.*

a. *General.* Compensation for personal services includes all remuneration, paid currently or accrued, for services rendered during the period of performance under the grant agreement, including but not necessarily limited to wages, salaries, and supplementary compensation and benefits (section B.13.). The costs of such compensation are allowable to the extent that total compensation for individual employees: (1) is reasonable for the services rendered, (2) follows an appointment made in accordance with State or local government laws and rules and which meets Federal merit system or other requirements, where applicable; and (3) is determined and supported as provided in b. below. Compensation for employees engaged in federally assisted activities will be considered reasonable to the extent that it is consistent with that paid for similar work in other activities of the State or local government. In cases where the kinds of employees required for the federally assisted activities are not found in the other activities of the State or local government, compensation will be considered reasonable to the extent that it is comparable to that paid for similar work in the labor market in which the employing government competes for the kind of employees involved. Compensation surveys providing data representative of the labor market involved will be an acceptable basis for evaluating reasonableness.

b. *Payroll and distribution of time.* Amounts charged to grant programs for personal services, regardless of whether treated as direct or indirect costs, will be based on payrolls documented and approved in accordance with generally accepted practice of the State or local agency. Payrolls must be supported by time and attendance or equivalant records for individual employees. Salaries and wages of employees chargeable to more than one grant program or other cost objective will be supported by appropriate time distribution records. The method used should produce an equitable distribution of time and effort.

11. *Depreciation and use allowances.*

a. Grantees may be compensated for the use of buildings, capital improvements, and equipment through use allowances or depreciation. Use allowances are the means of providing compensation in lieu of depreciation or other equivalent costs. However, a combination of the two methods may not be used in connection with a single class of fixed assets.

b. The computation of depreciation or use allowance will be based on acquisition cost. Where actual cost records have not been maintained, a reasonable estimate of the original acquisition cost may be used in the computation. The computation will exclude the cost or any portion of the cost of buildings and equipment donated or borne directly or indirectly by the Federal Government through charges to Federal grant programs or otherwise, irrespective of where title was originally vested or where it presently resides. In addition, the computation will also exclude the cost of land. Depreciation or a use allowance on idle or excess facilities is not allowable, except when specifically authorized by the grantor Federal agency.

c. Where the depreciation method is followed, adequate property records must be maintained, and any generally accepted method of computing depreciation may be used. However, the method of computing depreciation must be consistently applied for any specific asset or class of assets for all affected federally sponsored programs and must result in equitable charges considering the extent of the use of the assets for the benefit of such programs.

d. In lieu of depreciation, a use allowance for buildings and improvements may be computed at an annual rate not exceeding two percent of acquisition cost. The use allowance for equipment (excluding items properly capitalized as building cost) will be computed at an annual rate not exceeding six and two-thirds percent of acquisition cost of usable equipment.

e. No depreciation or use charge may be allowed on any assets that would be considered as fully depreciated, provided, however, that reasonable use charges may be negotiated for any such assets if warranted after taking into consideration the cost of the facility or item involved, the estimated useful life remaining at time of negotiation, the effect of any increased maintenance charges or decreased efficiency due to age, and any other factors pertinent to the utilization of the facility or item for the purpose contemplated.

12. *Disbursing service*. The cost of disbursing grant program funds by the Treasurer or other designated officer is allowable. Disbursing services cover the processing of checks or warrants, from preparation to redemption, including the necessary records of accountability and reconciliation of such records with related cash accounts.

13. *Employee fringe benefits*. Costs identified under a. and b. below are allowable to the extent that total compensation for employees is reasonable as defined in section B.10.

a. Employee benefits in the form of regular compensation paid to employees during periods of authorized absences from the job, such as for annual leave, sick leave, court leave, military leave, and the like, if they are: (1) provided pursuant to an approved leave system, and (2) the cost thereof is equitably allocated to all related activities, including grant programs.

b. Employee benefits in the form of employers' contribution or expenses for social security, employees' life and health insurance plans, unemployment insurance coverage, workmen's compensation insurance, pension plans, severance pay, and the like, provided such benefits are granted under approved plans and are distributed equitably to grant programs and to other activities.

14. *Employee morale, health and welfare costs*. The costs of health or first-aid clinics and/or infirmaries, recreational facilities, employees' counseling services, employee information publications, and any related expenses incurred in accordance with general State or local policy, are allowable. Income generated from any of these activities will be offset against expenses.

15. *Exhibits*. Costs of exhibits relating specifically to the grant programs are allowable.

16. *Legal expenses*. The cost of legal expenses required in the administration of grant programs is allowable. Legal services furnished by the chief legal officer of a State or local government or his staff solely for the purpose of discharging his general responsibilities as legal officer are unallowable. Legal expenses for the prosecution of claims against the Federal Government are unallowable.

17. *Maintenance and repair*. Costs incurred for necessary maintenance, repair, or upkeep of property which neither add to the permanent value of the property nor appreciably prolong its intended life, but keep it in an efficient operating condition, are allowable.

18. *Materials and supplies*. The cost of materials and supplies necessary to carry out the grant programs is allowable. Purchases made specifically for the grant program should be charged thereto at their actual prices after deducting all cash discounts, trade discounts, rebates, and allowances received by the grantee. Withdrawals from general stores or stockrooms should be charged at cost under any recognized method of pricing consistently applied. Incoming transportation charges are a proper part of material cost.

19. *Memberships, subscriptions and professional activities*.

a. *Memberships*. The cost of membership in civic, business, technical and professional organizations is allowable provided: (1) the benefit from the membership is related to the grant program, (2) the expenditure is for agency membership, (3) the cost of the membership is reasonably related to the value of the services or benefits received, and (4) the expenditure is not for membership in an organization which devotes a substantial part of its activities to influencing legislation.

b. *Reference material*. The cost of books, and subscriptions to civic, business, professional, and technical periodicals is allowable when related to the grant program.

c. *Meetings and conferences*. Costs are allowable when the primary purpose of the meeting is the dissemination of technical information relating to the grant program and they are consistent with regular practices followed for other activities of the grantee.

20. *Motor pools*. The costs of a service organization which provides automobiles to user grantee agencies at a mileage or fixed rate and/or provides vehicle maintenance, inspection and repair services are allowable.

21. *Payroll preparation*. The cost of preparing payrolls and maintaining necessary related wage records is allowable.

22. *Personnel administration*. Costs for the recruitment, examination, certification, classification, training, establishment of pay standards, and related activities for grant programs, are allowable.

23. *Printing and reproduction*. Cost for printing and reproduction services necessary for grant administration, including but not limited to forms, reports, manuals, and informational literature, are allowable. Publication costs of reports or other media relating to grant program accomplishments or results are allowable when provided for in the grant agreement.

24. *Procurement service*. The cost of procurement service, including solicitation of bids, preparation and award of contracts, and all phases of contract administration in providing goods, facilities and services for grant programs, is allowable.

25. *Taxes*. In general, taxes or payments in lieu of taxes which the grantee agency is legally required to pay are allowable.

26. *Training and education*. The cost of in-service training, customarily provided for employee development which directly or indirectly benefits grant programs is allowable. Out-of-service training involving extended periods of time is allowable only when specifically authorized by the grantor agency.

27. *Transportation*. Costs incurred for freight, cartage, express, postage and other transportation costs relating either to goods purchased, delivered, or moved from one location to another are allowable.

28. *Travel*. Travel costs are allowable for expenses for transportation, lodging, subsistence, and related items incurred by employees who are in travel status on official business incident to a grant program. Such costs may be charged on an actual basis, on a per diem or mileage basis in lieu of actual costs incurred, or on a combination of the two, provided the method used is applied to an entire trip, and results in charges consistent with those normally allowed in like circumstances in nonfederally sponsored activities. The difference in cost between first-class air accommodations and less-than-first-class air accommodations is unallowable except when less-than-first-class air accommodations are not reasonably available.

C. *Costs allowable with approval of grantor agency.*

1. *Automatic data processing*. The cost of data processing services to grant programs is allowable. This cost may include rental of

equipment or depreciation on grantee-owned equipment. The acquisition of equipment, whether by outright purchase, rental purchase agreement or other method of purchase, is allowable only upon specific prior approval of the grantor Federal agency as provided under the selected item for capital expenditures.

2. *Building space and related facilities.* The cost of space in privately or publicly owned buildings used for the benefit of the grant program is allowable subject to the conditions stated below. The total cost of space, whether in a privately or publicly owned building, may not exceed the rental cost of comparable space and facilities in a privately owned building in the same locality. The cost of space procured for grant program usage may not be charged to the program for periods of nonoccupancy, without authorization of the grantor Federal agency.

a. *Rental cost.* The rental cost of space in a privately-owned building is allowable.

b. *Maintenance and operation.* The cost of utilities, insurance, security, janitorial services, elevator service, upkeep of grounds, normal repairs and alterations and the like, are allowable to the extent they are not otherwise included in rental or other charges for space.

c. *Rearrangements and alterations.* Cost incurred for rearrangement and alteration of facilities required specifically for the grant program or those that materially increase the value or useful life of the facilities (section C.3.) are allowable when specifically approved by the grantor agency.

d. *Depreciation and use allowances on publicly owned buildings.* These costs are allowable as provided in section B.11.

e. *Occupancy of space under rental-purchase or lease with option-to-purchase agreement.* The cost of space procured under such arrangements is allowable when specifically approved by the Federal grantor agency.

3. *Capital expenditures.* The cost of facilities, equipment, other capital assets, and repairs which materially increase the value or useful life of capital assets is allowable when such procurement is specifically approved by the Federal grantor agency. When assets acquired with Federal grant funds are (a) sold, (b) no longer available for use in a federally sponsored program, or (c) used for purposes not authorized by the grantor agency, the Federal grantor agency's equity in the asset will be refunded in the same proportion as Federal participation in its cost. In case any assets are traded on new items, only the net cost of the newly acquired assets is allowable.

4. *Insurance and indemnification.*

a. Costs of insurance required, or approved and maintained pursuant to the grant agreement, is allowable.

b. Costs of other insurance in connection with the general conduct of activities is allowable subject to the following limitations:

(1) Types and extent and cost of coverage will be in accordance with general State or local government policy and sound business practice.

(2) Costs of insurance or of contributions to any reserve covering the risk of loss of, or damage to, Federal Government property is unallowable except to the extent that the grantor agency has specifically required or approved such costs.

c. Contributions to a reserve for a self-insurance program approved by the Federal grantor agency are allowable to the extent that the type of coverage, extent of coverage, and the rates and premiums would have been allowed had insurance been purchased to cover the risks.

d. Actual losses which could have been covered by permissible insurance (through an approved self-insurance program or otherwise) are unallowable unless expressly provided for in the grant agreement. However, costs incurred because of losses not covered under nominal deductible insurance coverage provided in keeping with sound management practice, and minor losses not covered by insurance, such as spoilage, breakage and disappearance of small hand tools which occur in the ordinary course of operations, are allowable.

e. *Indemnification* includes securing the grantee against liabilities to third persons and other losses not compensated by insurance or otherwise. The Government is obligated to indemnify the grantee only to the extent expressly provided for in the grant agreement, except as provided in d. above.

5. *Management studies.* The cost of management studies to improve the effectiveness and efficiency of grant management for ongoing programs is allowable except that the cost of studies performed by agencies other than the grantee department or outside consultants is allowable only when authorized by the Federal grantor agency.

6. *Preagreement costs.* Costs incurred prior to the effective date of the grant or contract, whether or not they would have been allowable thereunder if incurred after such date, are allowable when specifically provided for in the grant agreement.

7. *Professional services.* Cost of professional services rendered by individuals or organizations not a part of the grantee department is allowable subject to such prior authorization as may be required by the Federal grantor agency.

8. *Proposal costs.* Costs of preparing proposals on potential Federal Government grant agreements are allowable when specifically provided for in the grant agreement.

D. *Unallowable costs.*

1. *Bad debts.* Any losses arising from uncollectible accounts and other claims, and related costs, are unallowable.

2. *Contingencies.* Contributions to a contingency reserve or any similar provision for unforeseen events are unallowable.

3. *Contributions and donations.* Unallowable.

4. *Entertainment.* Costs of amusements, social activities, and incidental costs relating thereto, such as meals, beverages, lodgings, rentals, transportation, and gratuities, are unallowable.

5. *Fines and penalties.* Costs resulting from violations of, or failure to comply with Federal, State and local laws and regulations are unallowable.

6. *Governor's expenses.* The salaries and expenses of the Office of the Governor of a State or the chief executive of a political subdivision are considered a cost of general State or local government and are unallowable.

7. *Interest and other financial costs.* Interest on borrowings (however represented), bond discounts, cost of financing and refinancing operations, and legal and professional fees paid in connection therewith, are unallowable except when authorized by Federal legislation.

8. *Legislative expenses.* Salaries and other expenses of the State legislature or similar local governmental bodies such as county supervisors, city councils, school boards, etc., whether incurred for purposes of legislation or executive direction, are unallowable.

9. *Underrecovery of costs under grant agreements.* Any excess of cost over the Federal contribution under one grant agreement is unallowable under other grant agreements.

EXHIBIT I

JAN. 4, 1896

STATE OF UTAH
Office of the State Auditor
SALT LAKE CITY, UTAH 84114
801 533-5381

Richard G. Jensen, C.P.A.
STATE AUDITOR

February 13, 1980

Mr. Richard Keene
State Office of Education
250 East 5th South
Salt Lake City, Utah 84111

Dear Richard:

Based on our discussions last year and my review of the guidelines for conducting external evaluation visits, I have prepared a list of items which, I feel, would be important in strengthening the quality control of the on-site reviews. This list is not meant to be all inclusive since an extensive study was not performed. The following list does include, however, standard audit steps which may be used to verify the propriety of budget expenditures as they relate to specific grants or programs.

1. When the list of project expenditures is received from the school district, the auditor should ensure that the list is an official listing or that it is a part of the official accounting records.
2. This listing should be footed (added) and the totals should be tied directly to the school district's general ledger.
3. The auditor should also review the supporting detail on a sample of the expenditures. Some of the expenditures should be randomly selected; others could be judgementally selected based on specific criteria such as large dollar purchases or specific categories of expenditures. The auditor should ensure that invoice amounts agree to the amounts recorded in the financial records, that descriptions on the invoice agree to allowable expenditures and that they were properly coded, that receiving documentation exists to support that the goods were actually received, that properly approved requisitions and purchase orders support the purchase and that proper bidding procedures have been used where applicable. Extensions on invoices should also be checked.

4. For the same items reviewed in 3. above, the check should also be reviewed to ensure that the amount and payee are proper, that it was properly recorded as to when it was paid and that it has a valid endorsement.
5. Audit programs, detailing the specific audit steps to be performed, would be beneficial. These programs would not only detail the steps mentioned above, but would also include any steps required to meet required State or Federal guidelines. There should be a place on the program, alongside each step, where the individual doing the work can initial and date the work performed and reference to supporting audit workpapers.
6. Perhaps most important of all, the support for the opinion reached by the audit team with respect to budget expenditures should be completely documented. The audit work papers constitute a record in support of the opinion and, therefore, should be prepared carefully.

I appreciated your assistance and cooperation during the course of our recent audit. If you have any questions or wish to discuss these matters further, don't hesitate to contact me directly.

Sincerely,

Arnold B. Combe

Arnold B. Combe, C.P.A.
AUDIT MANAGER

ABC/lss

EXHIBIT J

EXTERNAL ONSITE EVALUATION REPORT

for

AN ANALYSIS OF FOSTER AND RESIDENTIAL DEAF AND BLIND STUDENT PERFORMANCE

Utah State School for the De·

USE THIS FORMAT FOR COVER SHEET

by

Karl R. White
Russell Osguthorpe
Sister Joan Allem

March 21, 1980

EXHIBIT K

The remainder of this document will be organized in the way that your final report of the external onsite evaluation should be organized. The contents of each section will be described briefly along with suggested procedures for collecting the relevant information. This information, along with the sample report you will receive in the near future, provides the basic information necessary for you to conduct and report the onsite evaluation visit.

PROCEDURES

Prior to Onsite Visit

Describe in this section what activities were undertaken to prepare for the onsite evaluation visit including what reports and documents were obtained and reviewed. Although very brief, this section provides important information to the Utah State Office and State Advisory Council members which enables them to know that appropriate preparation and contact with project staff occurred prior to the actual visit. Be specific about dates and people wherever possible.

During Onsite Visit

A chronological description of the activities which occurred during the onsite visit provides information about the context in which the evaluation was conducted and the adequacy of the data upon which conclusions are based. Included in this section should be the names and titles of people who were interviewed during the visit.

PROJECT DESCRIPTION

A brief description of the project is important so that the external evaluator's report can be understood without reference to other documents which may not be readily available. Additionally, projects will occasionally change substantially from what is described in the original application, or the description in the application will be somewhat vague or incomplete. This section should be complete enough to give someone who is totally unfamiliar with the project a basic understanding of the project. As appropriate, include reference to objectives, timelines, and specific activities.

OBSERVATIONS REGARDING EVALUATIVE QUESTIONS

The focus of each onsite evaluation should be to provide as much information as possible in response to the nine (9) questions discussed below. These nine questions will also be the focal point of the exit interview and the External Onsite Evaluation Summary Rating Sheet which is attached to this memo. The exact procedures for collecting information about each of the nine evaluative questions have purposely not been specified in greater detail. Because LEAs and projects vary dramatically, evaluation team leaders will need to be flexible in planning and designing the exact procedures which will be necessary for a specific project.

A substantial part of the data for the evaluation will need to be gathered via interviews with various people. It may be helpful for the evaluator to consider a matrix such as the following in preparing for the onsite visit. Specific questions, under each main evaluative question and the appropriate interviewees will vary so much from project to project that the evaluation team leader will be in a better position to construct the specific questions which need to be asked after reviewing the project materials.

	Relevant Audiences						
	Project Director	Project Staff	Students	Parents	Other LEA Staff	LEA Administrators	Other
1. Did project activities conform with approved plan or approved modifications? a. b. c.							
2. Was the project responding to a priority area of need or weakness within the LEA? a. b. c.							
3. Has an evaluation plan been implemented which will provide valid information about project effectiveness or impact? a. b. c.							
4. etc. ↓							

In addition to the information gathered during the interviews, evaluation team members may need to observe the project in operation, examine materials and products developed by the project, and consider various project reports and data resulting from internal evaluations, if the main evaluative questions are to be responded to accurately and completely.

The intent of each of the main evaluative questions is discussed briefly below.

1. Did project activities conform with approved plan or approved modifications? Were activities implemented in a quality-like manner that should lead to improved educational practice?

Included in this packet is the original application with any modifications submitted to and approved by the Utah State Office of Education. During your onsite visit you should interview people, observe the program in operation if appropriate, and examine materials and records to determine if the project activities are being conducted in conformance with the original or modified plans. It is not unusual for projects to encounter some problems in accomplishing all tasks in accordance with the original timeline, but it is essential that the proposed project be completed by the end of the grant period unless an extension has been formally approved. Your rating of this question should reflect the degree to which the project is accomplishing the original activities or the approved modifications in the project plan.

This question, as many of the following ones, has both a quantitative and qualitative dimension. Projects should not be rated high if they merely stumble through all of the activities which were promised. High ratings should be reserved for those projects which not only do the promised activities, but do them in a high quality manner which is likely to lead to improvement in the quality of the LEA's educational programs. To be rated in the top category (i.e., 90% - 100% of the possible points) any modifications to the originally proposed activities should have been approved in writing by the USOE, the project should be on schedule in implementing the originally proposed (or approved modified) activities, and you should be convinced that the activities are being implemented in a high quality, state of the art, professional manner. For example, suppose a project was to have developed a handbook to be used by teachers in implementing a reading program by March 1, 1981. Even though the original timeline and list of activities may not have detailed all of the steps that should go into the development of such a handbook (e.g., specification of objectives, review existing materials, develop first draft, review and critique by others, revision, field testing, revision, etc.); your rating should reflect the degree to which the essential steps were followed (note: essential practicality, not academic theory, is the main criterion). Moreover, even though all of the essential steps may have been done, if they were done mechanically and did not result in a high quality product, this question should not be rated high.

2. Was the project responding to a priority area of need or weakness within the LEA?

The main purposes of Title IV - Part C funding is to allow LEAs to respond to priority needs within their educational system. It is expected that LEAs will use a variety of means to identify priority needs. Therefore, specific components which must be included in an acceptable needs assessment have not been outlined. However, the LEA should demonstrate that a systematic and comprehensive process has been used to identify the particular area of need to which the project is supposedly responding. Furthermore, there should be evidence that the identified need represents an LEA priority. A Title IV project which has been developed by a classroom teacher in response to what he or she identifies as an area of need should not be rated high on this question unless the LEA administration has agreed that the particular area represents a priority need in the LEA. Furthermore, for the project to be rated high, the LEA administration should have been convinced prior to the program application, that this particular area was a priority need within the LEA. Rating should reflect the degree to which there is evidence to suggest that the project truly is responding to a priority need agreed to by the LEA, as opposed to an individual's priority. Ratings in the top category should also not be given to projects where there is no evidence that it has become an LEA priority even though in your estimation, it probably should have.

A judgment of whether a particular project was responding to a priority need within the LEA was already made by the review panel at the time the project was approved for funding. The same question is considered again during the onsite evaluation for two reasons. First, the issue of priority need is the foundation upon which the concept of Title IV funding rests. Second, it is often the case that an onsite evaluator will have additional and/or different information available to make this judgment.

3. Has an evaluation plan been implemented which will provide valid information about project effectiveness or impact?

Another central part of the Title IV - Part C funding philosophy is that LEAs will conduct an evaluation of developmental projects to determine whether the project was successful in meeting its objectives and the project is worth continuing with LEA funds after Title IV - Part C funding has been completed. In other words a project may accomplish its objectives (e.g., improved reading scores) but create such an administrative burden and negative effect among teachers that it is not worth continuing. An effective evaluation plan should have been designed and in operation from the beginning of the developmental process. Your rating on this question should reflect whether or not a systematic process has been identified through which appropriate data can be collected regarding the effectiveness of the project in meeting its objectives and the desirability of continuation. Evaluation plans need not be highly sophisticated or highly technical; but, they should be capable of yielding useful and valid information about the effectiveness of the project. Remember that the extensiveness of the evaluation component will often have to be balanced with the overall project resources. A $10,000 project should not be expected to use $8,000 in evaluation.

4. If the project is effective, is there evidence that the LEA plans to continue the project after Title IV - C funding is completed?

All applications for Title IV - Part C funding must be approved by the LEA superintendent. However, it is possible that an LEA could obtain Title IV - Part C money even though it has no intention of continuing the project after Title IV - Part C funding is completed--regardless of whether or not the project is effective. Although some LEAs may respond honestly and in detail to questions if you ask about their future intentions, in other LEAs you will need to gather additional information and read between the lines as to whether the LEA plans to continue an effective project after Title IV - Part C funding is completed. In some cases, even though an LEA says they plan to continue the project after Title IV - Part C funding is completed, there may be clear evidence to the contrary. In most cases, it will be important to speak briefly with the LEA superintendent or building principal about continuation plans as well as the project director. Your rating on this question should represent your best professional judgment about how committed the LEA is to continuing an effective project after Title IV - Part C funding has come to an end.

It is important to remember that if valid and comprehensive evaluation data indicate that the project was not successful in accomplishing its intended goals (e.g., improved reading scores, better self concepts, better career decisions, etc.), the LEA is under no obligation to continue the project after Title IV - C funding is completed. Consequently, your questions regarding plans for continuation should emphasize the aspect of "if the project is successful".

5. Were appropriate and sufficient efforts made to include private schools?

Part of the law upon which Title IV - Part C funding is based mandates that children from private schools have full opportunity to participate in the benefits that accrue from an LEA operating a Title IV - Part C project. Consequently, all LEAs are required as a part of their application to certify that private schools have been involved in the planning and will have the opportunity to benefit from the operation of a Title IV - Part C project in the LEA. During your onsite visit you should seek additional information about the degree to which this is really happening (unless there are no private schools within the LEA). It will not be necessary or advisable to contact private schools directly since this will be a focus of another component of the overall evaluation. However, from your discussions with LEA personnel, you should be able to understand the degree to which private school pupils have been included in the Title IV - Part C project. A high rating for this question should reflect more than routine contact with private schools at the beginning of the project. A high rating reflects a comprehensive effort to provide maximum opportunity for private schools to participate. Of course, private schools have the option to refuse and the project should not be penalized for such refusal if appropriate efforts have been made. If the LEA which you are visiting does not have any private school within its boundaries, simply mark this question N/A (not applicable).

6. Are relevant LEA personnel sufficiently aware of and do they understand the purpose of Title IV - C, and are they aware of the expectations and requirements associated with accepting a Title IV - C grant?

This question is somewhat related to other questions above, but has an important distinct focus. For example, an LEA may have been aware that they were supposed to evaluate the effectiveness of their project but simply had not done a very good job of evaluation. In this case, they would receive a low rating on #3 above but a fairly high rating on this question. A critical component here is that LEAs have an overall understanding of the purpose and objectives of Title IV - Part C funding. Specifically, LEA personnel should understand that Title IV funding is directed towards those LEAs who:

(1) have identified a priority need; (2) have identified existing projects or have determined that there are no appropriate validated projects in which case they would develop an appropriate project; (3) have designed procedures whereby the effectiveness of the project can be evaluated; and (4) are planning to continue the project with their own funds if it proves to be effective. Lack of awareness of these overall objectives of Title IV - Part C funding will detract from the successful accomplishment of the purpose of Title IV - Part C.

In addition, LEA personnel should be aware of the funding requirements/expectations of: (1) submitting a final report; (2) maintaining a clear audit trail of their expenditures; (3) implementing all of the activities as described in the proposal or approved modifications; and (4) accommodating external evaluation activities; or it will be virtually impossible to conduct a quality project which meets the objectives and purposes of Title IV - Part C. Your rating of this question should reflect the degree to which LEA personnel understand the purpose of Title IV funding and the expectations and requirements associated with accepting a Title IV - Part C grant.

7. Did the LEA make sufficient efforts to identify existing projects which may have met their need?

Before an LEA applies for Title IV - C money to develop a new project, it should make sure that there are not easily accessible existing projects which would be satisfactory. Even if no existing projects are totally acceptable, a developmental project should consider existing projects which would assist in and save time and money in the developmental process. In other words, the intent of this question is to determine the extent to which a particular project is unnecessarily "reinventing the wheel" instead of using or adapting from "existing wheels" (which can usually be done at a fraction of the cost).

In preparing for your visit, after reading all of the relevant information about the project, you should spend some time trying to identify similar existing projects. In most cases, we have tried to match projects with evaluators who have sufficient content background that this "search" should be an easy matter. In some cases, it may be helpful to do a quick ERIC search, review the "Educational Programs That Work" booklet, or check with a knowledgeable colleague.

Having obtained information about any existing programs which are similar, you should probably discuss with the project director the process they went through in applying for a Title IV - Part C developmental grant and whether they were aware of other programs which may have been appropriate for the identified needs. In those cases where you have identified similar or related programs, you should discuss with the LEA personnel why they chose not to use this particular project. A high rating on this question will indicate that the LEA did conduct a reasonably thorough search of existing projects that may have been appropriate to the need they had identified. This search should have included an understanding and awareness of projects available in the "Educational Programs That Work" book, although other sources should also be considered. A low rating on this question would indicate that the LEA was unaware of existing programs that may have been appropriate for meeting their identified need.

8. Do project expenditures and financial accounting procedures conform with state and federal requirements?

As a part of accepting Title IV - Part C funds, each LEA is required to keep detailed financial records of their expenditures. These records should be kept in such a way that a clear audit trail is left by which it can be determined that project funds have been spent appropriately. Enclosed in this mailing is a description of allowable and unallowable expenditures (OMB Circular 74-4) and a letter from the state Audit Manager regarding the examination of Title IV - C project accounts. As a part of your visit, you should ask to examine the ledger sheets and accompanying financial records to determine if LEA funds have been spent appropriately. In most instances, it will be sufficient to peruse ledger sheets fairly carefully and then pull a random sample of entries for further examination of the associated requisitions or purchase orders. If any of the entries in the ledger sheet seem suspicious, you should also examine supporting paper work for those entries in more detail. The worksheet attached to the Summary Rating Sheet should be used to document information gathered about the budget. All major budget modifications (more than 10% of the line item) should be approved in writing by the Utah State Office of Education. The original budget and any approved modifications submitted with the project application will be critical in answering this question. Minor clerical errors which you believe to be unintentional should be noted and will lower your rating in this category to some degree, but not dramatically if the LEA agrees to correct them promptly.

SUMMARY

This section is one of the most critical in the onsite evaluation report, since it is likely to be the only section perused by many readers. The intent obviously is not to repeat all of the content presented earlier in the report, but rather to summarize succinctly the major observations, judgments, and recommendations which the evaluation team believes are of most importance. Specifically, the summary should contain the following subsections:

1. Strengths

This section should contain a listing or brief discussion of each of the major strengths the evaluation team perceives in the project (its conception, operation, adherence to Title IV guidelines and purposes, outcomes, etc.). At the end of this section, you should discuss briefly and specifically the contributing factors which seem to be most responsible for the strengths discussed in this section.

2. Weaknesses

This section should contain a listing and brief discussion of each of the major weaknesses the evaluation team perceives in the project (weaknesses in conception or operation, failure to adhere to various Title IV guidelines and purposes, unclear outcomes, etc.). At the end of this section, you should discuss briefly and specifically the contributing factors which seem to be most responsible for the weaknesses presented in this section.

3. Overall Judgment of Success

As you know, the broad purpose of Title IV - Part C is to improve educational practice in areas of locally identified priority needs. In conducting a Title IV - Part C project, an LEA is supposed to conform to a variety of requirements prescribed by the law. These requirements are reflected in the Summary Rating Sheet which you have or will soon complete for the project to which you have been assigned as an external onsite evaluator. However, in reviewing some of the early project reports and in talking with some of the external evaluators who have already completed their visits, it appears that it is possible for a project to conform reasonably well with each of the individual requirements noted on the Summary Rating Sheet, but not be particularly successful in meeting the overall goal of Title IV - Part C which is to improve the quality of educational practice. Other projects may not conform to the degree desired with the specific requirements, but may, in the opinion of the evaluation team, be very successful in improving local educational practice. In other words, it may be that the whole is different from the sum of the parts. As an addendum to your report of the external onsite evaluation visit which will follow the format we discussed during the training sessions, we would like you to attach a brief response to the two areas described below.

1) Considering the total project, is it your opinion that this particular Title IV - Part C project has accomplished or has a high probability of accomplishing in the near future the overall objective of Title IV - Part C which is to improve the quality of educational practice in an area of locally identified priority need? Please rate the project as one of the following in terms of accomplishing this objective.

   a. Very successful
   b. Moderate degree of success
   c. Minor degree of success
   d. Not successful

   Please provide a brief (1-2 page) rationale for your rating.

2) In your opinion, what factors have contributed significantly to the successful accomplishments or problems of the project? After you have visited a project and completed your report evaluating the success of that project, you will probably have definite ideas about what factors contributed to the success or problems that the project had. These factors might include the presence or lack of expertise and past experience of project personnel in working with a project of this nature; or the support or lack of support of central administration for the project; or the type of need to which the project was responding; or a host of other factors. Many times these factors would not be specifically identified in the ratings or associated report. We would like you to think over your evaluation experience with this particular project and identify those factors which have contributed significantly to the success or problems which the project had. Please describe each factor briefly and include your rationale as to why you feel this factor was important.

4. Recommendations

In this section, the evaluation team should present their overall recommendations concerning the project, i.e., given the strengths and weaknesses reflected in the two previous sections, what should be done? If the project is a "continuing developmental project", applying for continued funding, would the team recommend that the project be continued unconditionally, continued if specified conditions are met, or discontinued? If a project is in its final year of Title IV funding, does the team recommend that it be continued within the school or district, promoted by the state for use in other districts, etc.? In reaching these recommendations, it should be stressed that they are not merely the "flip-side" of weaknesses, but should draw on the listed strengths as well. Recommendations might include suggestions for continuing and solidifying those things seen as strengths, suggestions for how to correct the deficiencies described in the section on weaknesses, and overall recommendations concerning decisions that should be made about project support, continuation or extensions.

EXHIBIT L

TO: External Onsite Evaluators for Title IV - Part C Projects

FROM: Glenn Latham

SUBJECT: Onsite Visits During April, 1982 for Adoptable and Developmental Dissemination Projects

DATE: April 6, 1982

The purpose of this memo is to summarize the procedures to be used in conducting the onsite evaluation visits for Title IV - C projects during this next month. Although some of this information may be repetitive, we wanted to make doubly sure that everyone understands the purpose, format, and suggested procedures for the visits.

A variety of materials which you will need to prepare for or to conduct the visits are enclosed in this mailing. These materials include:

1. Procedures for conducting the onsite visit. (READ THIS SHEET SOON: IT CONTAINS SCHEDULES AND DEADLINES!)
2. The application submitted by the Local Education Agency (LEA) to obtain Title IV - C funding for 1981-82.
3. A brief description of the purposes of Title IV - C funding.
4. The Federal Guideines for allowable expenditures on Title IV - C projects (OMB Circular 74-4) and a letter from the Utah State Audit Managar which details some specifics which are relevant to the onsite visits.
5. A copy of the memo which went to LEAs concerning Title IV - C evaluation.
6. Forms which will be used in constructing a summary rating of each project for your evalution report, an outline of the reporting format, and an outline of the procedures to be followed in making the visit.
7. A format for the final report cover sheet.
8. A list of private schools within each district in the state of Utah.

APPENDIX 8

Sample Formats for Onsite Evaluation Reports and Cover Sheets

EXHIBIT M

TITLE IV - PART C: CONTINUING DEVELOPMENTAL REPORTING FORMAT FOR EXTERNAL ONSITE EVALUATION VISITS

1. Summary rating form and cover sheet.
2. Procedures.
   - a) prior to onsite visit
   - b) during onsite visit
3. Brief description of project.
4. Observations regarding evaluation questions.
   - a) Do project activities conform with approved plan, or approved modifications
   - b) Is the project responding to a priority area of significant need or weakness within the LEA?
   - c) Has the project implemented an evaluation plan which will provide information about project effectiveness?
   - d) If the project is effective, is there evidence that the LEA plans to continue the project after Title IV funding is completed?
   - e) Are appropriate and sufficient efforts being made to include private schools?
   - f) Are LEA personnel sufficiently aware of the expectations and requirements associated with accepting a Title IV - Part C grant?
   - g) Are LEA personnel sufficiently aware of and do they understand the purpose of Title IV - Part C?
   - h) Did the LEA make sufficient efforts to identify existing "validated" projects which may have met their needs?
   - i) Do project expenditures and financial accounting procedures conform with state and federal requirements?
5. Summary.
   - a) commendations
   - b) recommendations

EXHIBIT N

EXTERNAL ONSITE EVALUATION REPORT
Continuing Developmental Projects

Project Name ______________________________

Project Location: ______________________________

Project Director - Name ______________________________

Address ______________________________

Phone ______________________________

External Onsite Evaluation Team Members:

Chairperson ______________________________

____
(Name and Address)

Member ______________________________

____
(Name and Address)

Member ______________________________

____
(Name and Address)

Year of Project: ______________________________
(First year, second year, third year, etc.)

Date of Visit: ____________

Date of Report: ____________

Signatures:

Project Director: ____________

Chairperson of Onsite Team : ____________

Team Member: ____________

Team Member: ____________

APPENDIX 9

Onsite Evaluation Team Leader Rating of Contribution of Team Members to Evaluation Team

ONSITE TEAM LEADER RATING
OF TEAM MEMBERS

Name of Team Member ____________________

Would you recommend this person to participate in subsequent external onsite evaluation team visits? Please check one response. If you check either 2 or 3, please explain your response.

☐ 1. Would definitely recommend for future onsite visits.

☐ 2. Might recommend if no one better was available. (Please explain)

☐ 3. Would not recommend under any circumstances. (Please explain)

____________________ Signature of Team Leader

____________________ Date

____________________ Project Visited